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ABSTRACT

This report on the proceedings of the 1980 meeting of the Association of Research Libraries (ARL) contains the following papers: "On the Need for a New Energy Consciousness," by James L. Clayton; "Video: Information Technology of the 80's," by Kenneth Winslow; "Linking Bibliographic Utilities," by Donald A. Smalley; "Preservation," by Pamela W. Darling; "Bibliographic Control of Materials in Microform," by Richard W. Boss; and three views on the future of ARL by David C. Weber, Anne Woodsworth, and Jay K. Lucker. Reports on various ARL projects and activities are included. Appendices provide ARL membership data, the report of the ARL task force on national library network development, the national interlibrary loan code, the auditor's report, and a summary of the Office of Management Studies annual report. (FM)

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to the Future

Minutes
# of the
Ninety-Sixth
Meeting

May 15-16, 1980
Salt Lake City, Utah

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ASSOCIATION OF RESEARCH LIBRARIES

Minutes of the 96th Meeting

Connie Dunlap, Presiding

The Ninety-sixth Meeting of the Association of Research Libraries convened at the Little America Hotel, Salt Lake City, Utah, on May 15-16, 1980.

President Connie Dunlap opened the meeting by welcoming and introducing both the new and alternate representatives attending their first ARL meeting and the guests of the Association.

President Dunlap then turned the program over to Irene B. Hoadley, who introduced the morning's speakers.

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ON THE NEED FOR A NEW ENERGY CONSCIOUSNESS

James L. Clayton

University of Utah

MS. HOADLEY (Texas A&M University): The program this morning is entitled: "1980: Prologue to the Future." It is designed to show that there are many futures for research libraries — some will be good, others may not be. What we would like to do this morning is to help each of you expand your horizons a little by taking the time to think about and talk about the future and its impact on your particular situations. All of us realize that it is difficult to theorize about the future when the present is pressing in on us, but failure to do so will mean that we will continue to be reactive institutions instead of being prepared with available resources when they are needed. How will research libraries deal with tightening budgets? shrinking enrollments? shifts away from traditional academic disciplines toward instruction in vocational skills? These are only some of the questions that must be considered.

Before I introduce today's speakers, I want to introduce the Program Committee members, who did most of the work in putting together this program: Bruce Peel, University of Alberta; Jim Wyatt, University of Alabama; Allene F. Schnaitter, Washington State University; and Charles E. Miller, Florida State University, who is not with us today.

Our first speaker this morning is Dr. James L. Clayton, Dean of the Graduate School and Professor at the University of Utah. He has said that he writes to alert Americans to the limitations of what government can accomplish without diminishing the capabilities to help those who are in less fortunate situations. We hope he can tell us not only how this applies to libraries, but also provide some ideas on coping with the future.

MR. CLAYTON: This occasion gives me the opportunity to do something I have wanted to do for at least two decades: to thank those people who are responsible for the many hours, days, and months that I have spent in research libraries — from Harvard University and the Library of Congress, out through Illinois and Wisconsin, and on to Berkeley and Stanford. This is perhaps the first time that I have had the opportunity to say "thank you" to all of you and to your staffs for the numerous assistances, always good manners, and helpfulness, and I do not want to let this opportunity pass to express my gratitude and appreciation for what you and your staffs have done for people like me.

President Carter recently announced that world oil prices more than doubled in 1979. Our share of this price increase will be approximately $45 billion. During the 1970s world oil prices rose more than tenfold, and were a major factor in causing the worst recession in 40 years and an accelerating rate of inflation unprecedented in America's peacetime history.

Eight years ago President Nixon asked the nation to commit itself to the goal of energy independence by 1980. At that time (1973) we imported 35 percent of all our oil needs. Today, despite all our efforts to encourage greater energy production, we are producing less crude oil (1978) than we did in 1970, and are importing nearly half of our petroleum needs. By contrast, the USSR has increased its crude petroleum production by more than half since 1970, and in 1977, the latest figure for which I have any data, they out-produced the U.S. by nearly 20 percent.

In the past six years the energy component of the consumer price index has risen 16 percent per year in constant dollars. Last year, it rose 43 percent in the first six months alone. If the United States adheres to the petroleum import ceiling agreed upon at the Tokyo Summit and no new programs to increase oil, gas, or synthetic fuels are instituted, the Joint Economic Committee of the Congress has predicted a slowdown in our rate of growth in the 1980s; reduced car sales, housing starts, savings, and productivity; higher federal deficits; soaring trade deficits; and accelerating inflation. These figures and the trends of recent years have demoralized the public and dimmed our vision. Energy, it seems, is a juggernaut.

President Carter's proposals to counter this juggernaut leave much to be desired. They postulate only modest sacrifice and assume that record level oil imports are already behind us. Phased decontrol of oil and gas prices, a "windfall profits" tax, the proposed new Energy Security Corporation, and import limitations will all probably help, but all of them have to be passed by Congress and all would have to work as they are expected to work. And most important of all, America's decades-long habit of consuming massive amounts of oil and natural gas would have to be fundamentally altered. But there is little evidence, in my judgment, that any massive change in our energy consumption patterns is about to occur, although there was a slight decrease last year, and little reason to believe that the energy crisis can be solved with our present attitude.

Production of crude oil and natural gas peaked and began a decline in the United States during the early 1970s. Worldwide demand for oil will probably exceed the supply of oil by the end of this century. In the interim, synthetic fuels will not offer much relief and, in any event, are likely to be much more expensive. Biofuels, geothermal energy, water power, and nuclear energy will help some, but more than a decade will be required to develop much capacity here, and no one is saying whether all of these together can return us to the world of pre-1970. Even the effects of more fuel efficient cars will not be felt on a broad scale until the mid-1990s.

All of these data and trends have given rise to an emerging aura of hopelessness in our national commitment to solve the energy crisis and a growing cynicism, particularly among our college youth. As with inflation, the energy crisis seems something the public is settling down to live with rather than to solve. Indeed, the major crises of recent years — the 1973 OPEC price increase, the deep recession of 1974-75, the emergence of the problems of the Near East, and the inflation of the last ten years — all of these seem to coalesce in one major crisis, with energy seemingly at its root.

To most people, the energy future looks dark; but the current administration believes that we have turned the corner in the energy crisis, much as they told us that we had turned the corner time after time in the Vietnam War. From here on, all we have to do is persevere, according to the President's Economic Report, and things will work out.

My view is quite different from this. To illustrate: the conventional diagnosis is that we have too little energy. What we need is "more." Conservation is largely an afterthought. If we had "more," we really would not have to conserve. If only we could get fusion on-line a little bit earlier, the litany has it, or make nuclear power safer, or find some great new North Slope, all would be well again. Especially alluring are the new synthetic fuels, or "synfuels," as we lovingly call them. These energy Wunderkinder are the hallowed offspring of modern technology and fit beautifully into the traditional mind-set of the average American, who is used to being not only pampered by science but saved and exalted as well. It is as if to pronounce the sacred talisman, "synfuels," is to solve the problem and to bring the blessings of Heaven upon generations yet unborn. Yet none of these Wunderkinder has yet been produced in a commercial sense, primarily because OPEC can expand their production or lower their prices at any time to meet this new competition. Few corporations are willing to risk much capital early on under such circumstances; hence, they wait until the world price of oil is close to the break-even point and then begin to develop these "synfuels." Such developments normally require a decade before significant production can occur, and in the meantime the public has nothing more, or little more, than promises.

As these synfuel solutions fail to materialize, many are inclined to find scapegoats or mystical explanations for the delay. Some blame the Arabs; others, the oil companies, Congress, or anyone else they can get into their cross sights. More than a few turn to metaphysically intoxicating but quite impractical elixirs. This has always been true. In medieval times, it was the Second Coming; in the 18th Century, it was unbounded faith in "reason;" in the 19th Century, the idea of inexorable "progress." Today, laissez-faire capitalism seems to be the Aladdin's lamp that will solve all of our energy problems — at least, one hears a great deal about that solution in this part of the country. Indeed, a return to the so-called free enterprise system is the opiate of the more conservative among us who constantly suggest that a good stiff dose of pure capitalism will cure our maladies. To an increasing number of people, the solution is less government. If we could only get government "off the backs of the people," the people will solve their own problems, and one supposes, dig their own oil wells. Proposition 13 and the more foreboding "Jarvis 2" in California are dramatic symbols of this mood. Finally, there is persuasive evidence that a fairly large number of Americans really despair of all empirical solutions to our current problems, and consequently, have opted for celestial solutions. Evidence for this point can be seen in the growing attention to charismatics. Should this last remark sound to you a bit bizarre, may I remind you that the most popular nonfiction book published in the United States in the last decade, as measured by sales, was The Late Great Planet Earth, a book that emphatically declares that everything is going to hell, but that Jesus is coming to set things right.

Now, the snag in all of this, at least in my judgment, is that if the energy crisis is as serious as the experts tell us — and I believe it is — then the usual solutions we are talking about today fall far short of what is necessary to solve this crisis. The problem is that the proffered solutions are conventional, and even commonplace. They call for "belt-tightening," greater "perseverance," and "adjustments" in our "transition" to a new energy source. One almost never hears that radical measures are necessary, or a permanent change in life-style, or, more importantly, a wholly new mind-set. The emphasis is almost always on producing more and consuming less — a little more oil and some synfuels, or a little less driving and better insulation. It is as if a sleeping but traditional American Prometheus simply had to be reawakened in order to get this nation moving again toward greater consumption.

This incremental approach — a little more here, a little less there — ideally fits, in my judgment, the current public mood, and requires the least number of adjustments in our life-style. America is, after all, the land of promise; and that promise has always been understood to mean promise of greater economic abundance. Because this has been truly a blessed land relative to others, America has become over the decades the very Holy Land of Consumption. "Thou shalt accumulate" is imbedded in almost every American's heart, from the chief executive down to the part-time janitor.

In the 19th century, the idea of consuming more and better things was largely understood to bring a happier and more satisfied life, but some time after the first world war, consumption seemed to become an end in itself. Now, the future seems bleak, and our policies do not seem to work because our wants remain unchanged. This simple but little understood fact is the real key to any long-term solution to the energy crisis.

The main emphasis in our search for a solution to the energy crisis, in my judgment, should be on consuming less rather than producing more. We still consume twice as much energy per capita as the Europeans generally, more than twice as much as the French do, and nearly three time as much as the Swiss do. We are not used to conservation because it has not been a pressing issue in the immediate past and because the tradition of individualism in America places the main emphasis on personal wants, not social goals. The twin soporific of prosperity and freedom has dulled our senses to the necessity of conservation and the imminence of scarcity; but the present crisis with its attendant higher prices is beginning to capture our attention and soften our resistance. But conservation, however necessary, is only the penultimate station, not the final goal. What is required is a change in our life-style, and a change in our values.

In my judgment, we are not merely dealing with a serious economic and political problem such as oil reserves and OPEC pricing mechanisms, but with a far more fundamental idealogical problem. The fundamental problem with the energy crisis is our attitude toward life, and the achievement of happiness. In the past, and to a considerable degree today, Americans have been committed to high consumption values with a strong emphasis on materialism, occupational rewards, and a competitive struggle for success, as measured by the acquisition of durable goods. The joys of life are seen in power, success, status, achievement, and economic rewards. Dread, awe, and wonder have been of little value in our Society. Nature was to be conquered and dominated, and fulfillment was to be achieved in the sustained pursuit of wealth. Underlying these values was the belief that needs were unlimited and their fulfillment correlated with happiness. Greed and envy were systematically cultivated, at least since the 1920s, by advertisers, and people tended to be judged by their occupations and their possessions.

Now, such a value system requires a large and renewable quantity of goods — the GNP, if you will; and that requires growing and renewable energy resources. But renewable sources of energy, those not dependent on fossil fuels or nuclear power, supply only about 6 percent of America's needs today. With declining sources of fossil fuels and rising opposition to nuclear energy, this value system simply cannot be sustained over a long period of time. What is required is a value system based on declining energy resources, one opposed to what Veblen called "conspicuous consumption," and the primacy of economic values. In short, "having" and "consuming" are increasingly difficult to sustain in a new social structure based on declining energy resources. Lack of new resources requires new habits. Solving the energy crisis means walking more and riding less. It means giving up a lot of enjoyable and comfortable habits that have been ingrained in us for decades, including cars, even more complex and expensive weapons, and a host of kitchen gadgets. A real and lasting solution means ending industry's wasteful policy of planned obsolescence, more recycling, fewer lights, smaller houses, more mass transportation, older cars, probably dirtier air (at least in the short run), less exotic vacations taken closer to home, and more practical clothing.

If we take the energy crisis seriously, we need more than conservation: we need a thorough-going change in our common ethos — the kind of change we experience during the Great Depression and during World War II, when we moved in the former form a laissez-faire society to a welfare state society in the Great Depression, and from a tradition of isolationism prior to Word War II to one of world leadership since. Such dramatic changes are usually forced. They seldom come because they are either willed or planned. Circumstances such as a great depression or a world war mandate them. On a smaller scale, rising prices, if sufficiently painful, can mandate some changes in personal behavior. Rising gasoline prices, for example, can require the poor to drive less, to buy smaller cars, to use the bus, or to walk. But this pain thus far has not spread very far up the socio-economic ladder, and we have not changed our driving habits very much as a nation. The energy crisis, in other words, has inconvenienced us, as it were, but not really reached down into our psyches. It has not registered yet; it is merely beginning to register.

As a historian, I do not believe most Americans will change their consumption ethos to a conservation ethos voluntarily. It will probably take something of the magnitude of the Great Depression, as I mentioned a moment ago, to work this miracle. One way this might happen is for us to suffer an energy-related Pearl Harbor. If OPEC suddenly and permanently cut off our oil imports, we would have to make massive and painful adjustments. Such a catastrophe is possible, but unlikely. More probably is the slow, steady slide into the realization that we cannot go on living as we are accustomed to living. Much of England has realized in the last two decades that conservation is not enough, that changing fundamental habits is less painful in the long run than not changing our fundamental habits.

There seems to be an historical pattern in these kinds of massive shifts in ideology. The first stage in the change to a new ethic is evident when key intellectuals become dissatisfied and critical of the conventional wisdom — to use a Galbraithian term. Thorstein Veblen, Richard Ely, and Henry George were examples of this mood in the late 19th century when they began to criticize the laissez-faire attitudes of that time. John Dos Passos, Sinclair Lewis, and H. L. Menken played that role in the 1920s prior to the changes of the 1930s. In our day, some of the more insightful intellectuals, who are criticizing the old order of things and calling for a new gospel are: Aldo Leopold, who advocated a new ethic which would include land, plants, and animals, as well as human beings; E. F. Schumacher who tells us in his charming way that Small is Beautiful; the Club of Rome, some years ago, which alerted us to the Limits of Growth; Barry Commoner, who taught us to weigh the liabilities of technological progress against its advantages; William O. Douglas, who suggested, in at least one decision, that rocks have rights, and that those rocks have rights equal at least to corporate rights, which are based on a piece of paper and a little bit of ink, and are no more animate or real than the rights of those rocks; and Charles Reich at Yale, who told us that a change in consciousness would have to proceed the change in behavior. Closer to home, Wallace Stegner has given new meaning to the relationship between our values and our wilderness, and

Stewart Udall has told us that "true conservation is ultimately something of the mind — an ideal of men who cherish their past and believe in their future." That is the first stage: intellectual criticism.

The second stage dawns when some outside force impinges upon us with sufficient force to stun the entire populace and cause them to question these traditional values. This happened in the 1930s when the Great Depression convinced most of us that unregulated capitalism was not working very well and that the fundamental economic assumptions underpinning our economic ethos had to be changed. In the first hundred days of FDR's first administration, this change began to take place. Later, we found a new prophet for this new value system — John Meynard Keynes — to rationalize and refine decisions we had already made earlier for other reasons.

A similar external shock occurred following World War II. We wanted — and indeed began to return to — our traditional isolationist attitudes following that War until a series of external events shocked us into a new consciousness of the world beyond our borders. The prospect of a Communist takeover in Greece in 1947, the Communist seizure of power in Prague in 1948, the rise of the People's Republic in China in 1949, and the invasion of South Korea in 1950 — all forced Americans to a less isolationist and a more interventionist new consciousness, and a new Cold War life-style. To a lesser extent, Vietnam has had a similar impact, particularly on our youth in alerting us to the limits of our power as the world's policemen.

The third and final stage occurs when these new values are internalized by the public over a long period of time. This has clearly occurred with regard to our national commitment to democracy, separation of church and state, the indivisibility of our union, and the idea of a mixed economy. It is probably true of our commitment to racial equality. It remains to be seen whether a new energy ethic is possible over a long period of time.

If a new energy consciousness is on the horizon, either from external necessity or internal enlightment, it will, like the New Deal, probably build upon the past and upon incipient American traditions which can be adopted to these new idealogical demands. What are these traditions which we might draw upon for this new consciousness? I think, as an historian, we can learn a great deal from the past to help us in the future. From Thoreau we can learn that our wild places are compelling antidotes to the excesses of urbanization. From Emerson we can learn that as an old ethos is cast off — in his case, traditional Calvinist religious orthodoxy — a newer and gentler morality is possible and equally inspiring. From John Wesley Powell we can learn about limits — that ours is neither an American paradise nor a dreary desert.

We would do well to reacquaint ourselves with W. J. McGhee, a conservationist of the Progressive Era. In him, we have a window on a new energy mentality. It was McGhee, I believe, who first said that our new ethos should be: "The greatest good for the greatest number for the longest time." These last three words, "the longest time," is the key to an energy ethos of lasting power. It means that this generation should not wholly consume, much less waste, scarce resources without which the next generation must starve or freeze. McGhee would say that it is avowedly immoral for Americans to consume more than twice as much energy per capita as the rest of the world, including several other nations which have higher per capita GNPs than we do.

John Muir could teach us something about worship, about getting inspiration and finding exaltation not in consumption and man-made goods but from God's creations, especially mountains and forests. He could tell us that when we go skiing, for example, it is not the clothes we wear, nor the expensive equipment which we have that brings the most satisfaction, but the setting — snow, sky, wind, light, solitude — and the companionship of friends to share it with.

We could learn from Aldo Leopold that men and women are not conquerers and consumers alone, but citizens of the land, with obligations to nature. What is needed is a new religious or moral conviction, if you will. Take for example, the concept of "saving." In the past, being frugal, saving for the future, even paying off the mortgage was considered a moral duty and the essence of wisdom. People who were "profligate," who did not save, ran the risk of losing their good name. Today, we have lost our once strong moral commitment to saving. We have traded our conserving ethic for a consumption ethic, which requires the acquisition of innumerable physical gadgets. The rate of savings in this country is the lowest in the industrial world, and the lowest on record, for our own country, probably because we expect a recession, increased prices, and therefore we want to get rid of that money as fast as we can.

A new value system suitable for the post-affluent, post-consumption ethic should focus on more complex ways of measuring income and satisfactions. Leisure, freedom, and independence are at least as valuable as dollars, and often more satisfying. A steady-state society can be as satisfying as a growth-oriented society, provided one uses suitable counters. Scarcities can develop habits of personal and social thrift, just as abundance can develop habits attuned to prosperity. Learning could take the place of acquiring — and it would seem to me that you would have a major role, as I at the University would have a major role as professor, in the emphasis of learning taking the place of acquiring — preservation that of exploitation, and continuity with the past could replace our current discontinuity and anomie.

If becoming were to replace having as the bottom line of our social ethos, perhaps those ancient and durable religious values America once cherished could inspire us once again. Economics has been a diety of mixed blessings, and "things," as Emerson said, have been in the saddle riding mankind long enough. Things are secondary, not primary, and when we are forced, perhaps by this emerging energy crisis, to learn this simple lesson, we should be better able to understand when enough is enough. And when that simple idea penetrates into the minds of a majority of Americans, we shall have indeed established a new energy consciousness. And I think, in conclusion, that those of us in education at whatever level can play a major role in shifting that consciousness from having to being or becoming, because the life of the mind — and books are the fundamental cement of that life — is the essential ingredient of that new ethos. Thank you very much.

VIDEO: INFORMATION TECHNOLOGY OF THE '80s

Kenneth Winslow

Winslow Associates

MS. HOADLEY: Our next speaker is Mr. Kenneth Winslow, a consultant in video programming. He has written extensively in the areas of audio and visual communications, and has edited and published volumes in this same area. He has worked for clients in business, industry, finance, education, and government. May I please now introduce Mr. Kenneth Winslow.

MR. WINSLOW: Good Morning. Dr. Clayton and I, I believe, complement each other. Many analysts in the consumer electronics area believe the '80s to be a period when consumers will convert their garages into home screening rooms. For the price of a medium-sized automobile, it is now possible to acquire a video cassette machine, a video disk machine, a large screen projector, and some of the other paraphernalia that I will mention. We may be, in truth, at an important transition point in a movement from transportation to communications.

"Video: Information Technology of the 80's," the topic I will talk about, is the information component of a transmitted television signal. The other part of that television signal is the RF carrier, which sends the signal through the air from a transmitter to a television receiver. This is as good a place to begin as any other.

For 40 years, we have looked upon the television medium as a creation of the broadcaster for entertainment purposes. The broadcaster has controlled the content of the television signal. The broadcaster has controlled our access to that television signal. Many of us have, accordingly, identified television with entertainment and not information. We have acted, understandably, as if television belonged only in the corner of our living rooms for entertainment. Let me start with a parable.

For that 40 year period, we have really been unwitting parties to a plot between the broadcasters on the one hand and the electronics manufacturers on the other to put a television set in every home in the country. The plot worked. Today, over 99 percent, or 76 million homes, have one or more television receivers. Most people think television forms an entertainment network. But I want to make the case to you that it is also an information network. By the late '70s, the happy partnership between broadcaster and manufacturer began to fall apart. While the broadcaster had been busy cranking out "Charlie's Angels" to living room viewers whose average viewing period was beginning to approach seven hours per day — and I must parenthetically add that those of you who do not watch television at all must recognize you have an opposite somewhere who is watching 14 hours per day — the electronics manufacturers, having put television sets in everyone's living room, ran out of customers. So, electronics manufacturers turned to other things to make and sell. In the last half of the '70s, these manufacturers began to look upon the television-saturated living room as an opportunity. And at that point, the one-way, 40-year old, entertainment-dominated, passive television receiver began to be perceived as a two-way "infotainment"-oriented, interactive, viewer-controlled terminal for which all kinds of new electronic devices could be made and sold. This is the basis for my talk today.

As we enter the '80s, the manufacturer has clearly moved from the side of the broadcaster to the side of the television viewer. He wants to sell us more gadgets. There are a lot of products the consumer electronics manufacturer can make and sell when the television receiver is perceived as a video information medium. Entertainment will still lead, but now the opportunities for information are really incredible.

Over the next ten years, television will become as specialized as radio is today. Where there was one television set per family in the '60s, there will be several television terminals per person as we reach the end of the '80s. If you tried to count the number of radio sets per person in your household, you may lose track. You may not even be aware of all the radio sets you have in your home. That is what I want to predict will be the course of television as we move into the '80s.

We will move from less than ten channels that are receivable in the average household to over 50 channels. The present QUBE system in Columbus, Ohio — soon to move into Cincinnati, Houston, Pittsburgh, and other places where Warner-AMEX has an interest in a cable television system — is a 30 to 100 channel access system. People in Columbus who are subscribers to QUBE literally sit with this small console in their laps which brings them antenna or distant channels, local origination or access channels, and premium channels for which they pay. Educational institutions in the Columbus area are now finding opportunities to use this system. Faculty members teaching by television are now finding it a new and exhilarating experience to talk to live students on the other side of the television set who press buttons if they do not understand or if they want to ask a question. The Columbus Public Library had a bi-weekly program in which Columbus library card carrying viewers could, at the end of a discussion of a new book, press a button to ask the library to deliver that book by mail. That is an example of one possible direction for the '80s when more and more channels will become available.

Our use of television will move from just entertainment in the '80s to information, instruction, and training by home video terminals as we get closer to the '90s; from just pictures and sounds to alphanumeric images. We will regularly view and use video text presentations. The telephone will be an integral part of the home television terminal. We will use it for data. ("What kind of a man owns his own home video computer" is a current advertisement by the Apple Computer Company.) We will move to facsimile. For example Japanese Matsushita — which in this country is Panasonic, Techniques, or Quasar, depending on your special preference for electronics — has demonstrated a capability so that if you want a recipe while watching a cooking show, you press a button and the recipe will appear, printed on a piece of paper, out of a slot below the screen. Of course, for some of you, this is "old hat" technology. But my basic point is that these options are moving out of the special area of business, industrial, and scientific applications, and are disbursing into the population at large. The consumer electronics manufacturers now are working on these ideas for the viewer or the user of television in the home and in related areas — not for the broadcaster. The electronics manufacturers are hard at work finding new ways to make the television set more useful.

The use of television in the '80s will require the ability to read, follow instructions, communicate, and compute. A test in France is under way to provide the telephone subscriber with a small television terminal and a local memory in which phone numbers and other related information are placed for electronic display on a television screen. A service called "The Source," based in McLean, Virginia, was introduced about a year ago at a computer show in New York City. A mini-computer using the consumer's own television set permits the subscriber at home to obtain access to the kinds of data bases that you have been working with for a long time. If we look back over the first 40 years, television was accused of diverting people from reading. As we move into the '80s a person will not get full measure out of his personal television terminal unless he can read, understand, and react intelligently to information presented on the screen.

Let us look at the television signal itself. A 30-minute video program — any television program — has the enormous capacity of 54,000 colored pictures, charts, diagrams, or other similar still material. Any 30-minute television signal broadcast closed circuit on even a milk carton, will ultimately have the capacity or the equivalent of 675 carousal slide trays, or 30 300-page text books, or three and one-half million computer bits of information. Or, any combination of the above. That has always been the capacity of the television signal, from the day Uncle Miltie walked onto the television screen and moved into the living room. But now that the manufacturers are working with us, they see television as more than just an entertainment medium. They are providing ways to gain access to that information, to break it out in various ways so that we can use it for information, education, and training purposes. Let me give you an example.

The storage area, and many of you are concerned with storage of materials, required in 1970 for that 30-minute capacity of television programming that I just described was roughly five feet by five feet. In the middle '70s, that storage area on video tape was reduced to three feet by three feet. This year, using the video disk, 30 minutes worth of television information can now be stored in an area that is equivalent to six inches by six inches. And five years from now, 1985, that 30 minutes worth of television information I described to you, will be reduceable to and retrievable from an area one-half inch by one-half inch. From then on, it will get molecular; I would not know how to describe it to you. This is not an idle or a theoretical method of size reduction and retrieval. It is a process that is now being driven by the consumer electronics manufacturers who are making technology designed for the living room. The half-inch video cassette Beta and VHS machines, the Magnovox, and the Pioneer video disk machines next month, RCA's video disk machine next year, and so on, all have this order of storage and retrieval capability. And it is not an esoteric process. It is something that is going to be in every living room in the country. The forecasts are that by the middle '80s, somewhere between 30 percent and 40 percent of America's living rooms will have this information storage and retrieval capability.

The video disk is an ideal archival medium. The information the video disc contains is mechanically encoded. You all know of the archival problems with colored film and with paper and other perishable materials. The video disk and the bubble memories represent a form of innate storage. As inert material, the dyes will not fade, the dimensions will not change.

One form of video disk media will never wear out: the laser optical by Philips MCA and the Thompson CSF video disk systems. In the case of the laser optical system, you would have all of this enormous information carrying capacity: 54,000 still frames or 30 300-page text books all contained on a 12-inch diameter disk read by a light beam with no physical contact. The quality will never change. It will never wear out. As my ecology-minded middle daughter says, "It's not even bio-degradeable."

Well, I have really concluded my presentation. I wanted to lay the basis for you to do some thinking. The majority of you are from education -- from colleges and universities. I would suspect buried within the heart of your institution are one or more media groups that are working very diligently in this area of video communication technology. It is more than trying to put courses on television. Increasingly, video communications technology is being used to move information to people instead of trying to move people to information. And I would urge you to take advantage of convenient opportunities to work with these media groups — find out what they are doing, and find a way to get some first hand experience.

I thank you, and I hope this has been meaningful to you, and I, of course, will be here to answer any questions.

DISCUSSION

(Following the speakers' presentation, the Membership divided into small groups to discuss the issues raised. When the group reconvened, the discussion leader from each group posed questions raised during the group sessions to the speakers, with Allene Schnaitter moderating.)

MS. SCHNAITTER (Washington State University): I am sure you have all enjoyed the discussion groups and are eager to hear from our speakers. But what I would like to do in order to get as strong a coverage as possible is to ask each group leader to give us one of the key questions from your discussion, focusing, if possible, on the relationship of research libraries to the topics that the speakers addressed. I will start by calling on Vern Pings. Please give us a key question from the group that you led.

MR. PINGS (Wayne State University): We heard this morning about the marvelous technology we are all going to have to buy and start consuming more of, but there are questions about reproducing it and indexing it, and if it is so damn small, how are we going to retrieve it? Do we really have the technology to do those things we have heard about and talked about today? You know, we have the technology to index and retrieve material in the library now. Are we thinking about the new technology in light of these functions, rather than just looking at the technology and the fun that we are having with that technology?

MR. WINSLOW: I talked to you this morning in terms of capacities to show you the potentials being developed, but as a practical matter of size, a video cassette is the size of a paperback book. You shelve a paperback book. You can shelve a one-half inch video cassette, which in current capacities will hold up to six hours worth of material. There are some considerations about the quality and the retrievability of that material in the six-hour form, but the cost, based on six hours worth of material in one VHS — for those of you who are interested in that detail, a T 120 one-half inch cassette — the prorated cost of that per hour would be something like $2.30, and it is erasable. A player is available now to retrieve this material segment by segment or frame by frame. We have the capacity now to easily freeze a single picture on a screen, view it as a still, or view it as a motion sequence — slow motion, fast motion, fast forward. The size of the material is about the size of a paperback book. Facsimile printers now reproduce what is displayed on the screen. I do not know what the cost of those units are.

MR. PINGS: Maybe I did not asked the question right. Alright, so we have the paperback book and we have a record which tells us that we have a paperback book so we can find it in our library. In that paperback book there is an index, so if we want some of the information in that book, we do not have to read the whole book.

MR. WINSLOW: Yes.

MR. PINGS: Now my question was, how is this indexing, this retrieval of bits and pieces stored in such horrendous quantities going to work?

MR. WINSLOW: When you walk into a General Motors dealership today any where in the country, he will put on a video disk player, and the first frame that the video disk automatically turns to is the "Table of Contents." It shows the contents completely and then narrows it down, allowing you to pick a chapter. These systems are already designed to work with chapters and pages, leading you through the index. I think is a direct answer to your question. That system is being developed in the videotape storage and retrieval medium as well. So indexing, to answer your point, is very much of a concern to both the videotape and the video disk technologist.

MS. SCHNAITTER: Thank you. Next group, Don Koepp. Now you may find that some of the questions, as we move through the groups, will be overlapping, so it is up to the leaders to come up with a fresh key question.

MR. KOEPP (Princeton University Library): I would like to ask Dean Clayton a question with respect to how we go about achieving the kind of administrative flexibility which would permit the kinds of changes that he is talking about in energy consumption, and the kinds of changes that Mr. Winslow discussed with respect to storage, access, and a variety of other concerns. I guess my basic question is whose responsibility is it to see that this flexibility exists: the librarian, the library staff, the faculty, the overall administration?

MR. CLAYTON: Part of that process has already been going on, and those who are probably furthest down the road toward the new mind-consciousness and life-style are the students at the more prestigous institutions. Particularly noticeable is the clothing they wear and their habits, as well as the comments they make in class and in their journeys to the library. So, I think, some groups accept and take this leadership spontaneously and certainly in my own institution, the life-style is markedly different and much more energy-conserving now than it was ten years ago.

In terms of the administrators — and then I would like to discuss librarians — I think it is necessary for institutions to have long-range planning committees. In my own department, we have had, for some years now, a series of five-year plans, and these are not rhetorical exercises. These are specific points that have been costed out and thrashed over and voted upon with a time schedule; and we have gone through several of these cycles. So, I think departments must do this. And university administrations should have a central planning committee. One of the great strengths of the French tradition is their central planning orientation. And, one of the great weaknesses of our own democratic system is a lack of an elite planning group that can exist at the highest level beyond change of the administration, or beyond change of a new group in Congress.

I would think that libraries, like departments (and they are departments or colleges) ought to have a long-range planning group that will outlast the current administrator, the current administration, and perhaps current fiscal crises, to look down the road in terms of deciding the goals we are heading toward and the kind of society we are likely to have ten years from now, and then make a flexible, contingent, specifically costed long-range plan. I think we fail as administrators if we do not do that.

One final comment with regard to my own area of responsibility. At the University of Utah we began to review graduate programs long before most institutions did, and we were able to assist quite a number in learning from our mistakes and in using our format. We have sent out several hundred packets along those lines. Today, we are moving toward curtailment of programs. I mentioned to one group that we have targeted 34 different degree programs at my institution this year for study. We have already this year discontinued about half a dozen, and placed about half a dozen on probation. In my visits with the deans of graduate programs in national conventions, virtually no one is doing this, or they are doing it to a much more limited degree. It seems to me that if the number of students is going to decline and graduate enrollment is going to decline, as most are predicting, this kind of long-range planning needs to take place, and each entity — libraries, departments, central administration, graduate programs — has to play a major role in that planning.

MR. KIDMAN (University of Southern California): Since we have been hearing, not only here but other places, that massive storage is going to become even more available in terms of technology and also in terms of cost, does this mean that libraries can now start looking to being self-sufficient again, and perhaps curb network growth?

MS. SCHNAITTER: Who wants to tackle that one?

MR. WINSLOW: I will start on that. I am in a curious position. I do not know enough about your daily concerns, and I do not think you know enough about my daily concerns, but we were trying to communicate with each other. I understand your meaning of self-sufficiency. I would say, yes. The kind of self-sufficiency that I may crudely describe would be that the whole community library might virtually be stored on a number of video disks that each patron might have in his or her home, along with the opportunity to access that library. It would, of course, not take the material form of books, magazines, pamphlets, publications, and I think, this might be the case in academic areas as well. It is not going to happen overnight, but this is the direction that current technological developments take us. You would access the video disk library and the information you want on a screen. You would then make a secondary decision as to whether or not you want to have a representation of that material appear on a piece of paper. The paper itself, and the ink, and other processes involved in printing, may become much more expensive than the kind of storage and the kind of display that I have alluded to in a very general way this morning.

MS. HARRAR (University of Maryland): This question is directed to you, Dr. Clayton. In terms of the changing value system and life-style you are calling for, what do you see as the effects on the academic library? Now, this is two-pronged, because you talked this morning, in part, about the benefits you had received from a variety of research libraries across the country over the last couple of decades, and we are wondering to what degree are you willing to accept changes in the traditional services which you have enjoyed. And what kinds of changes are you willing to accept?

MR. CLAYTON: That is a very good question, and gives me a chance to raise my pet peeve with what happens in libraries from the user standpoint. Do not move those collections around so much! Just when I get used to knowing where the things I use are, they are moved 30 feet away somewhere or downstairs. This is one thing that I would rather not have to tolerate, and that I suspect does not cost too much — perhaps it would be even a savings.

I think, in general, that the great challenge of librarians, if the scenario as I see it is coming or possible, would increase enormously your importance and the number of users of your institutions. When we talk about becoming, rather than having, we are talking about consuming ideas and we are talking about formulating and developing character more than we are talking about consuming durable goods and services. I would think that libraries would play a very significant role in any society that began to be oriented toward a "becoming" ethic. What kind of person do I want to be? What should I do now that I am 55 in Japan, and must retire? Or, what do we do in our society when the number of the elderly over 65 increases substantially as a proportion. We would try and, I think, welcome those people back on our campuses; just a trickle are beginning to come now. I would hope that many more of these mature students would come, trying to learn for their purposes rather than for the faculty or the regents' purposes, or some kind of degree to get a job. Overall, libraries will play a much, much larger role in a society emphasizing "being" and "becoming," rather than "consuming."

Now, to the second part of that question, what am I willing to give up? I am willing to give up a substantial number of second, third, and fourth rate journals. We have too many journals in my field, and I know a bit about some other fields now, from my own responsibilities. And I further believe that those major ones we do have are often focusing on highly specialized, often technical and mathematical, quantitatively oriented materials that are quite narrow, and I would like to see a broadening there. So there is one thing that we could afford to do in terms of reductions. As an historian who uses a lot of microfilm, I am willing to give up the pleasure of reading newspapers and turn to microfilm, more willing to use interlibrary loans more frequently, even though the time at our institution is something like seven to ten days — and less, if it is close at hand. There are, I think, a variety of things that faculty are willing to do, and will become willing to do, when the issue is not what did I have in the past, but rather, Will I have a job? Will my department exist? and, Will we have students to serve? In other words, I think the willingness to sacrifice is considerably greater now among the faculty than it was just ten years ago.

MR. GOVAN: (University of North Carolina): You have impinged on our question a bit in the last response, Dr. Clayton, and this is addressed to you, but we are addressing it from a somewhat different perspective. Given a need for changes in life-style and attitudes, what changes should occur in institutions of higher education as autonomous institutions duplicating programs, in faculty promotion and tenure systems with their emphasis on publication, and in the faculty need, or at least demand, for immediate access to printed materials?

MR. CLAYTON: I see that as a three-part question. Let me take the second one first, because I think that is the key to the problem, that is, the emphasis on publication. I do not see very soon the emphasis on "publish or perish" diminishing at the major research institutions. What I do see occurring is the number of people engaged in those kinds of projects diminishing, as the students diminish and the amount of money available for running the administration diminishes, or ceases to increase at the same rate. I do think the major research institutions, in terms of the faculty, are moving away from the "publish or perish" syndrome, focusing now more on quality, even allowing some first-rate teachers to get tenure in some of those institutions. The problem with "publish or perish" is the problem of the second-rate institutions and the third-rate institutions who want to be like the first-rate institutions, some of which will become so, most of which will not. This attitude, I think, could be turned around to the benefit of librarians, faculty, students, and public alike.

With regard to the degrees, the new life-style, I think, if it comes, and we are asked to live on less, will probably require fewer degrees. What I have seen at my own institution is growth from 20 to 25 departments, to now over 70 departments, and sub-departments spinning off sub-sub-departments. That is a problem: the bulkanization of departments based almost entirely on the research efforts and the grants of one key superstar faculty member.

In terms of access, the third part of that question, I would hope that Mr. Winslow in what he has to say, and he may wish to comment on that, will help us considerably by bringing the material to us rather than having the researchers go to those research bodies, with the exception of manuscripts collections. I suspect we will guard those rather jealously. What I would hope could be done is what is beginning to happen at national conventions where papers go out and are read and then criticisms go out and are read, and those present have both the papers and the criticisms before they come to the meeting. Technology, I think, in that way could help enormously to get us not only access, but also enhance the level of quality of the debate once we come together.

MS. SCHNAITTER. Would Mr. Winslow care to comment?

MR. WINSLOW: I concur that that is what is beginning to happen. I served on a sub-committee of a sub-committee of the White House Conference on Library and Information Services. Staffers and committee members communicated with each other about position papers even before the papers were published using some Texas Instruments portable units that communicated through local telephone numbers, nationally. Staffers and resource people were leaving messages with each other, and some very spirited dialogue developed. An example of what you suggested would happen is beginning to happen in many places.

MR. CHURCHWELL (Washington University): This question is directed to Dr. Clayton and it is concerned with the relationship which seems to exist between values and technological advancement. Since it appears that many of our present values and desires drive technological change and advancement, if we change our values and reduce our desires, what do you perceive to be the driving force for technological change?

MR. CLAYTON: I guess I see that question in just the reverse order. As an historian, I believe that most of our values are derived from technological development and change, rather than the other way around. And, I think, the crisis that we are facing now is happening in precisely that way. It is a crisis of natural resources; it is a crisis of technology; and this crisis will require us — push us — into changing our values.

Our values in the early 19th century were shaped largely by the institutions, the economy, the possibilities of mercantilism, and the society as it existed then. With the Industrial Revolution, our values shifted to accommodate that revolution. When we changed from coal to oil in the latter part of the 19th century, our values of accumulation and consumption changed, and we spawned in the 1920s a whole new advertising industry. Just an aside on that: an interesting point, I think, is that once it became possible for women to go out and work, because so much of the food in the home was produced in the marketplace, we began to change the values and the roles for women from what we used to call in history "moral saviors" and "moral guides," to "companions" to their husbands. When they became companions, the cosmetic industry was developed because that was what companions needed at that time. Moral guides do not need lipstick. The same situation, I think, is true with regard to the shifts and changes today. As we reduce our resource space, as in Japan, the growth rates begin to fall. As technologically we get increased rates of pollution and the trade-offs become now more difficult to make, I think the technology and the resource space will begin to change our values.

One final comment. The "beat" generation of the 1950s, which then, I think, emerged into the more activist generation of the 1960s, is, in part, based on the ability of our economic society to assimilate those students. We had a big bulge of students coming through during the 1960s; we established, therefore, a large number of graduate programs to accommodate them. The society could not fully accommodate all of them; many realized that instinctively and dropped out, establishing a new looser, anti-establishment, drop-out kind of value system, based on the ability of that system to assimilate them. So, the relationship is demonstrable, but the relationship generally comes from the technological socio-economic side to the formulation of values, rather than the reverse.

MR. CHAPIN (Michigan State University): Our group had one question. That question was, what are we doing here? We had a lot of opinions that came out after that first question was asked in the first minute of our discussion. The opinions lead up to one question, and that is that obviously your frugal description of frugal life-style, Dr. Clayton. There are going to be changes in the library life-style; there are going to be changes in the faculty life-style. Our question is, how do we get the faculty members to accept this new life-style? It is not as simple as saying, "Well, we can get rid of a lot of useless journals," because uselessness to one is not uselessness to someone else. Who determines what is useless? Also, we have touched on the gadgets — the electronic gadgets. Are we going to have electronic journals? Will these journals be accepted by the faculty? Can a library adjust to this new format?

MR. WINSLOW: Again, I will have to begin to assume what you mean by the form of an electronic journal. I was television coordinator at the University of California, Berkeley for a good number of years. Donald Coney was the librarian, and I learned a lot. I learned that the way to work with the faculty members was to present the opportunity to use television and related communications in a way that was advantageous to them and their departments. We very quickly moved from the large lecture class into a situation where a television and its related techniques were used to develop materials and demonstrations, and make them available to faculty members or teaching assistants in ways that would serve their special needs. We began to think about materials rather than courses on television. So, appealingly to the faculty member is a question of strategy.

As to whether or not there would be electronic journals developed, this again is related to the cost, ease, and convenience of use of the technology. I remember during my years at Berkeley, there was an effort to address the question of publication of journals, and the length of time they took to get out and into the hands of users. And there were some very awkward attempts that failed, at that time, because of the cost and complexity of technology to do that. What we are beginning now to see with the paperback-size video cassette and the LP record-size video disk, the indexing capabilities, the volume of information, and the cost, that the idea of electronic journals again will present itself, as these devices are made available to faculty members. I, in my occasions to speak to faculty members, find that they have these devices at home, and are beginning to avail themselves of these materials. In the engineering and sciences area, there is a group based in Atlanta that is now disseminating materials, in what I will take to mean an electronic journal form. This is the beginning of a new, inexpensive, more reliable, more widely accessible technology. This is an awkward way of saying, yes.

MS. BECKMAN (University of Guelph): Coming last, most of our questions have already been addressed, but I think this one has a slight difference in interpretation, so we would like both speakers to answer this in terms of what advice would both of you have for library administrators. What kind of expertise will library administrators need in the next decade to address the problems that you have both presented us with today?

MR. CLAYTON: That is a hard question to answer, and I am really stalling for time to try to answer it in a meaningful way. I suppose I hark back to my own institution and the kind of librarians I know there. Those who have helped me the most are those who love libraries and love books. Now that may sound somewhat commonplace, but I fully believe that most students do not love libraries, and do not appreciate and love learning. Those librarians, secondly, who have helped me the most, I think, are those who are widely read and who have specialized in one general area; my area being humanities, I know a few key people that I can turn to and find some assistance. And, third, I think those that I have found most useful, and this would depend on one's specialty, have been in the documents section. I am particularly appreciative of someone who knows his or her way around and through the federal documents system. It is a highly complex system, and there are lots of loose ends to it, at least from my perspective, and most of these people are young people, often students, who have acquired this experience over the years, and probably by training. Although our library — and Roger Hanson may want to comment on this — has tried on a number of occasions to work more closely with departments, I think that has been less successful than a one-on-one relationship with a faculty member. I suppose what I am saying is that those who help the researcher most are those who are most like that researcher in temperment and outlook, and have the broadest background to assist that person in answering his questions, which are numerous.

MR. WINSLOW: Well, that is a good summary question. Again, I feel very humble having come from really another area of endeavor, but I would say that I have tried to make the point that the manufacturers and the designers who are working in electronic areas are turning from entertainment to information. The video disk player that Magnavox now sells may appear to you to be a gadget, but it has some very important information carrying capabilities. Find a way to work with it. The Library and Information Technology Association (LITA) of the American Library Association has a Video and Cable Communications Section (VCCS), is made up of librarians who consider themselves video librarians. They have important meetings, and they are constantly worrying about how to communicate their interest and enthusiasm to with people such as yourselves.

I think if there could be a member on your staff whom you respect professionally; who shows an interest in this new technology, and takes the point of view of being in the information business, not necessarily just in the book or the research business, you should use that person to identify, and sort through, what is happening in this area, so you can separate out the gadgets, the electronic games, and the playthings, and get to the heart of the opportunities that lie ahead in this next decade of communications. That is a tough row to hoe, but I will wager that on your staffs, in all your institutions, you have staff members, whom you respect and who have such an interest. Find a way that is convenient to your daily administrative concerns, and start developing that knowledge in your library. The Association, perhpas, could help you do that.

During the 25 or 30 minutes I have had here this morning I could only hope to peak your curiosity, to challenge you a little bit. Monumental things are occurring, and new products are being developed for the consumer. I grabbed a press release this morning that talked about a major organization participating in a survey of home terminal services. This is one of these multi-client studies for which the final report costs $20,000, and as you would guess, American Telephone and Telegraph Company, Chase Manhattan Bank, even though diversified, are all subscribers, And way down on the list is OCLC; they are a subscriber, too. Try to avail yourselves of the ways to look at what is going on here. Sort the wheat from the chaff and find ways to learn. I think it is going to be absolutely essential, as we move into the future as our resources become more diluted and our life-styles start to change.

MS. SCHNAITTER: On behalf of the Association of Research Libraries, I wish to express our thanks to the speakers this morning for their contributions. I think you have done very well in your formal presentations, and in responding to our questions. I hope that you led us in a direction which will make us not followers of the trends but leaders as we move into the 1980s. Let us give both of these gentlemen a round of applause.

LINKING BIBLIOGRAPHIC UTILITIES

Donald A. Smalley

Battelle Columbus Laboratories

MS. HOADLEY: The program this morning is broken into two segments. The first three presentations are an update for the Membership on some important projects that are now in progress. Because of the length of our program, I would like to ask you to hold your questions until we have had all three speakers.

Our first speaker is Donald Smalley, who is a research scientist with the Battelle Columbus Laboratories. Mr. Smalley will talk about the project on Linking Bibliographic Utilities that Battelle is conducting for the Council on Library Resources (CLR).

MR. SMALLEY: Thank you, Irene. I would like to start out by saying a few words about Battelle. Some of you may not be familiar with what we do. Sometimes when I tell people I work at Battelle, and they hear "Mattel" and say "Oh, how is the toy business these days?" Well, we are not in the toy business, or if we are, we develop rather sophisticated toys.

Battelle is a nonprofit, contract research organization which operates as a charitable trust. We have about 2500 employees spread throughout the world, with 900 of those at the main division in Columbus, Ohio. There are three other divisions: one in Richland, Washington, one in Frankfurt, Germany, and one in Geneva, Switzerland. Battelle does research in a broad range of areas. Our name is primarily known in technical circles for work that has been done for fifty years now in materials engineering and applied technology and science of many sorts. We have done work in the synthetic fuel area, and have been active in the space program for many years. There is a new subsidiary of Battelle called ONWI. It does not mean that they are involved in boring work; the acronym stands for Office of Nuclear Waste Isolation. This is the Federal Government's main research body for figuring out what to do with nuclear waste. Battelle has been involved in cancer research and other forms of medical research, and increasingly, we are getting into non-technology, or I should say, non-engineering areas, for both government and industrial sponsors.

Battelle, although the name might not be familiar to many of you, touches your life in one way or another. For example, the xerography process was developed at Battelle back in the '40s, and the rights for it subsequently transferred to the Xerox Corporation. That sandwich coin process that makes your quarters worth less than a nickel in terms of real silver was developed at Battelle. The styrofoam cups you had coffee from this morning, snowpake — invaluable for people who do some typing, and one of the most significant contributions, the very secret process that make M & M's melt in your mouth and not in your hands, were all developed at Battelle.

The library systems study group at Battelle is fairly new. We have about half a dozen people, and have been doing research in the library area for about two years now. The group is a part of the Information Systems Section at Battelle in Columbus, and most of the work that we are doing involves the planning and design of library systems. In addition to the CLR project, about which I will speak momentarily, we have had a project for the National Library Service for the Blind and Physically Handicapped, developing a circulation system that will become standard throughout regional and local libraries. My colleague, Ann Walker, who is here with me today, has been the manager of that project.

At Battelle there is a broad range of talent that is available, which is important in a multi-disciplinary project such as the study of linking utilities for the Council on Library Resources. Putting together a proposal at Battelle reminds me of the old "Mission Impossible" TV show. Ten years or so ago Jim Phelps would get the little tape with the instructions on it, usually in the men's room at a gas station, and it would self-destruct in five seconds. Then he would go home and get a folder full of 8 x 10 inch glossies of the people who were going to be put on the project. The music would drone in the background, and he would select his team: Martin Landau, Greg Morris, and the rest of them. Well, when we put together a proposal at Battelle, this is what we do. In the Information Systems Section, we can draw on talents in the computer modeling area, networking, and other computer technologies, as well as our business and financial analysis expertise, and, of course, the librarians on our staff.

You have heard at this meeting about the Bibliographic Services Development Program at CLR. One of the initial efforts of the program has been to gather data that will support decision making on the issues of linking bibliographic utilities. There have been a lot of ideas and a lot of preliminary studies about linking, but so far, not much data have been collected. This is the task of the Battelle project. We began in September and had intended to have the report completed and distributed by now and to talk about our conclusions and recommendations this morning, but the report is still undergoing the review process. So what I would like to do instead is give you a brief overview of the approach that we have taken to the report, and let you know some of the things that you can look forward to when the report hits the streets sometime in July.

There are three goals to the study. First, to assess the benefits of linking the bibliographic utilities and the Library of Congress bibliographic resources in machine-readable form. There has been a lot of speculation on what the benefits might be. Some of them are intuitively obvious, perhaps; if you can get an increasing hit rate for cataloging, for example, that may enable you to catalog some titles faster and get books on the shelves sooner. Because the bibliographic records become available for those titles sooner, and if you are able to avoid the original cataloging for some of those titles, this may lead to lowering some of the costs of cataloging as well. The same can be said in the area of interlibrary loans. If access to the resources of other data bases can increase the number of holding symbols found, or if it can increase the percentage of finding at least one holding symbol per title requested on interlibrary loan, then many libraries would benefit.

The second goal is to evaluate the many technical alternatives for linking. If it turns out that the benefits to libraries and to the utilities appear to be substantial, then the question becomes what are we going to do to deliver those benefits. How are we going to make the resources and capabilities available to users of only one data base? There are a large number of alternatives. We have attempted to determine which ones of them are feasible, and what would be involved in developing and implementing those that appear to be feasible.

Our third goal is to develop some tools that could be used beyond the present study, by utilities, libraries, and other organizations, to analyze the effect of linking on their operations. I will talk a little more about that in a moment.

With such a broad charter, this is a little like roping mountain lions in the Grand Canyon: one misstep and you have a long way to fall. CLR recognized that the study had to be narrowed somewhat, and they chose some areas that they considered most profitable for study with the resources that were available. We considered only OCLC, RLIN, WLN and the Library of Congress data bases. The data bases contain primarily records for monograph material and the study was confined to that type of material. Shared cataloging of current titles, interlibrary loans, and reference searching were the three library service areas that we examined to see what kind of benefits linking might provide. We recognize, of course, that there might be benefits in other areas, e.g. cataloging for retrospective conversion, shared acquisitions at some institutions, etc., but we focused our efforts on the three areas I mentioned.

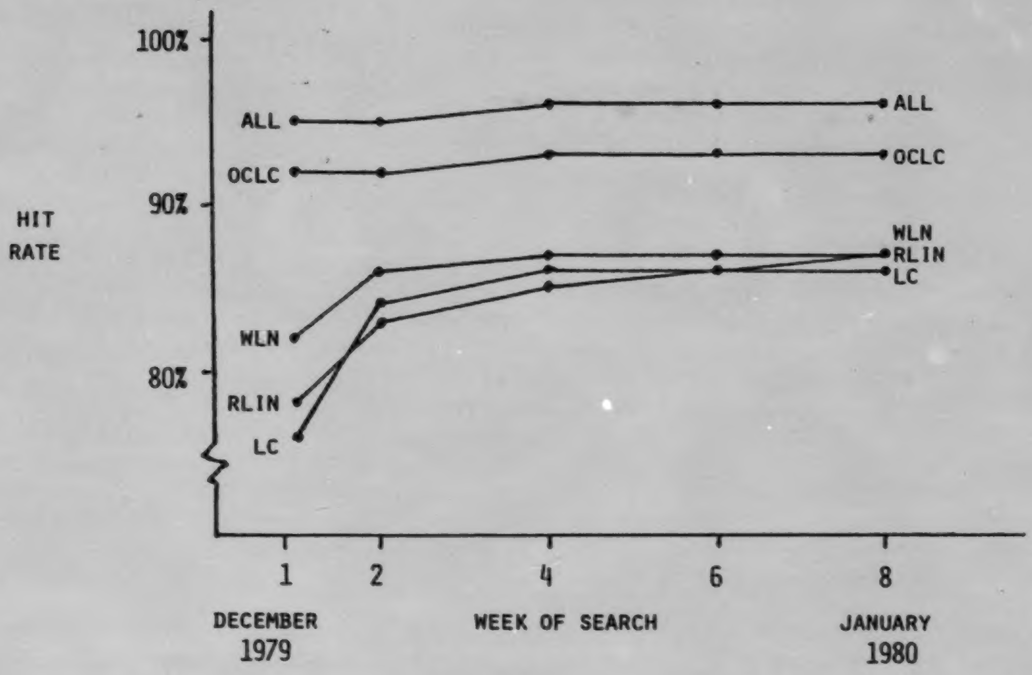
In his talk, Kenneth Winslow gave an inkling of what might be the shape of things to come regarding video disks, cassettes, and so forth. There are a number of technological advances that could fundamentally change the structure of bibliographic services in the next decade or so, and this might have an important effect on the types of alternatives you consider for linking. However, we did not attempt to do any stargazing, and were more interested in what kind of steps can be taken within the next three years to accomplish linking. Even though the study was narrowed down this way, mountains of data were collected. Many libraries throughout the country participated in the study in one way or another, either contributing data in response to interviews or filling out questionnaires. Many ARL libraries participated in the study, and I would like to thank you very much for your cooperation. We collected five categories of data, and I will just give a brief indication of what went into each of them.

First, we collected data on the hit rate for current titles. We compiled samples of current titles being cataloged by libraries using each of the utilities, searched them on each of the four data bases every week for eight weeks until a full LC MARC record was encountered. Then, we computed the hit rates for each data base, and went on to determine what the increase in hit rate would be if the users of one utility had access to combinations of the other utilities. A similar experiment was done for interlibrary loans; we took a sample of ILL requests, and determined the hit rate on holding samples. The estimated demand for linked reference searching was approached by determining the level of card catalog use, using some published studies to get an idea of the failure rates at local card catalogs, determining how many of those searches would then be pursued on-line at the host utility, and then how many of those would want to access a second utility for reference searching.

A lot of data had to be collected in the area of technical requirements for the link alternatives. What does it take to develop these alternatives? What kind of computer resources are involved for the search loads that are predicted?

Finally, we developed a computer base simulation model to help us analyze the cost of linking the utilities in various ways and with various configurations of utilities involved. The data that we are using for our analysis and that will be provided, along with the model itself, as a product of the study, first had to be collected, and, to predict the link search loads for on-line linking, we had to know the amount of computer resources it takes to process a search in each of the utilities, and a wide variety of other data. The graph below summarizes the results.

HIT RATES FOR CURRENT TITLE CATALOGING



Notice that the curves are fairly flat after the second week of searching. These are titles that were searched once each week for eight weeks. The curves are almost entirely flat after the second week, and this may indicate that if something is going to be available on a data base within two months, it will probably be available within the first two weeks. The other thing I will call your attention to is that the hit rates on current title cataloging for OCLC are about six percentage points higher than those for WLN, RLIN, and the Library of Congress. The eight week hit rates for OCLC is 93 percent, for WLN and RLIN, 87 percent, and for LC, 86 percent.

The top line on that graph shows the hit rates that a library would have had if it had been able to access each of the data bases. This is also fairly flat; it is about 95 percent very early on, and does not get much higher, ending at 96 percent after eight weeks. So, if you take week four, for example, RLIN's hit rate is 86 percent and the total hit rate is 96 percent, a difference of ten percentage points. Ten percent of these titles in this sample of titles that we chose did not hit on RLIN, but could have been available if there had been access to another data base or to all of the bases. This study was done in December and January. Conditions have changed since then, and will continue to change, particularly for RLG/RLIN, and it is possible that the discrepancy in hit rate is already less and will continue to dwindle. However, this is the kind of benefit that we are talking about from linking.

If it appears that there are substantial benefits to libraries from linking, then the question remains how is linking going to be achieved. What kind of hookup, in effect, will we need to provide access to other data bases? Well, there are a lot of ways that are imaginable. All of the link alternatives have components and four of them are listed below.

COMPONENTS OF A "LINK ALTERNATIVE"

(1) Exchange Mode
(2) Data Exchange
(3) Communication Mode
(4) User Interface

Examples

EXCHANGE MODE:	Exchange of tapes	On-line Access
DATA EXCHANGE:	All new member- generated records	(On-line Records)
COMMUNICATION MODE:	Mail	Leased line
USER INTERFACE:	N/A	"Translation"

There are a number of options under each of these components, and when you construct the link alternative for analyzing it, it is like a Chinese menu. You choose one option from column A, one from column B, and so forth. For example, the exchange mode could be that we are going to put bibliographic records on tape, and send them to other utilities. The data exchanged, in that case, might be all newly created records, records input to that data base by members and sent to other utilities on tape periodically, let us say, once every two weeks. The "communication mode" could be mail, courier service, or United Parcel Service. User interface is not applicable here, but let us look at the next example.

Choosing other options from each of these four components listed above, the exchange mode might be on-line access, and the data exchange in that case would be, of course, data in the on-line files. The communication mode could be a dedicated line leased from the telephone company that connects the host computer of the utilities. This might also be a so-called value added network or a commercial time-sharing network, and the user interface point is rather interesting here. If you are talking about an on-line link, you have the problem of to what degree does the user get involved in translating. We have identified two user interfaces: "native mode," in which the user searches another data base using the commands and formats of that other data base and receives back records in that data base's format, therefore the user has to do the translation; and "translation mode," which allows the host computer of the utility to do as much of the translation of formats as possible, so that the user, in most cases, is searching a foreign utility in exactly the same way that the host utility is searched.

There are a large number of link alternatives that can be generated by choosing options from these four categories, but we are then faced with the problem of how do we decide what is an acceptable alternative. What appears to be feasible and practical, and is there one that appears to be preferable? These are some of the criteria that we have used in analyzing the desirability of link alternatives, divided into two sections: criteria for the user libraries, and criteria for the utilities.

SOME CRITERIA FOR COMPARING LINK ALTERNATIVES

Criteria for the User

(1) Service Provided
(2) Ease of Use
(3) Cost to the Library
(4) Reliability

Criteria for the Utility

(1) User Benefits
(2) Development Effort Required
(3) Effect on Response Time
(4) Operating Costs
(5) Management Control Needed
(6) Expandability

For libraries, we are interested in such things as: does the alternative provide the kind of services that enable libraries to get the benefits that could be derived from linking? How easy is it to use? What is the cost to the library? There will likely be a search fee, and there will be a financial trade-off between ease of use and service provided and the cost to the library. Under criteria for the utility, user benefits is a big concern to the utilities. Utilities need to be convinced that whatever linking arrangement they might want to undertake would provide adequate benefits to their user libraries as well as to the development effort required. The last point is important. It would be unfortunate to paint ourselves into a corner now by implementing a link that was not expandable, or could not evolve gracefully into something that might be more desirable as technology changes, or as the structure of bibliographic service division changes.

Finally, I would like to say a few words about the computer model that I mentioned before. We call this tool "BIBLINK." It was developed using a modeling language developed at Battelle, and it is an on-line, interactive simulation model, wherein one can input various link alternatives and configurations of utilities, make some estimates of the on-line search loads between those utilities, and project the increase in annual costs of operating that link based upon those assumptions and search load. It is a way of managing the large amount of data that is involved in making such comparisons, and it is a way of quickly changing your assumptions and seeing what financial burden that utilities would have to bear from operating a link, processing the additional load which would come from other utilities. This is intended to be a complement to the users' nonqualifiable knowledge and experience. It is not a situation where one can insert numbers at the top and automatically generate the answer as to the best link alternative for these utilities. It is a tool to help in the analysis, and it can be used in a number of other ways as well.

There is a fairly sophisticated capability in experimenting with search prices. For example, there could be a number of pricing arrangements instituted by utilities to recover the costs for providing this service. We provide a fairly sophisticated capability for doing what might be called the break-even analysis — determining what pricing structure would allow utilities to recover the costs that are projected for the kind of link that is being modeled. Some of the technical people at the utilities can use this capability to determine whether their computer capacity is presently sufficient to meet the demands of link searching and whether they would need to acquire more capacity if they wanted to provide the full range of servicing that libraries might find beneficial.

This has been a brief overview of the project; and I will be happy to answer any questions that you have at the conclusion of the other speakers' presentations.

PRESERVATION

Pamela W. Darling

Columbia University Libraries

MS. HOADLEY: Our next speaker this morning is Pamela Darling, head of the Preservation Unit at the Columbia University Libraries. Ms. Darling has recently been named Preservation Specialist for the OMS Preservation Project, and she will be speaking about that project this morning.

MS. DARLING: Preservation has become a very hot topic in the last few years. At the end of 1976, speaking to the Planning Conference for a National Preservation Program, the President of the Council on Library Resources observed that a major preservation problem was the fact that so few people realized there *was* a problem. Putting it rather neatly, Jim Haas declared: "We have here a matter of great public concern, but we don't have a concerned public."[1]

Three and a half years later, we are well on the way to having a concerned public. Not only has the library profession become aware of the frightful things going on in the stacks, but the topic has turned up in the general press with increasing frequency. Articles have appeared in many major newspapers, the wire services have picked up several items, the "Talk of the Town" in the *New Yorker* has begun to nag at the literary community about it, and various industry trade journals — chemical, insurance, and so on — have also taken note.

Disasters such as the Stanford flood have made good copy and helped to spark general interest, but attention has also been focused on the quiet but deadly deterioration that is taking place day after day. My all-time favorite is an article from the *National Enquirer*, which my sister's mother-in-law spotted in the Seattle Supermarket. Next to the baby picture of the week, the headline screamed: "Millions of valuable books disintegrating in nation's libraries."[2] It would probably be fair to say that the *need* for preservation is now widely recognized.

With the "why" now relatively easy to document, we face the next hurtles: what, how, who? At almost any gathering of library administrators you will hear people bemoaning the lack of preservation programs in their libraries, the lack of knowledgeable people, the lack of regional resources, the lack of a national program. Library schools are beginning to feel anxious that they do not offer a preservation course. Workshops are over-subscribed by people rather desperately trying to find out what they ought to be doing. And budget officers are shuddering in anticipation of the staggering costs that will surely be involved in "doing it."

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[1] Conference Report, *Library Journal*, February 15, 1977, 102:449.
[2] *National Enquirer*, February 14, 1978.

Up to a certain point, anxiety can be a useful weapon in the battle to preserve our collections. It can shake us out of our routines, compel us to reconsider our priorities, soften up the funding sources. But in some cases, it has produced a useless state of frozen panic — throwing up our hands in horror at the apparently overwhelming magnitude of the task, sure that we do not even know where to begin and that the library had better find somebody with some "expertise" to take care of preservation. When God called Moses to lead the people to the promised land, Moses was quick to say "But I am nobody. How can I go to the king and bring the Israelites out of Egypt?" It was a nice try, but it did not get him out of the job any more than self-perceived inadequacy will relieve us of the responsibility to rescue the materials entrusted to our care. "Go down, Moses. . . "Into the stacks, librarians. . ."

The promised land of control over our preservation problems may yet be 40 years away, but the wilderness is already being charted, and several vehicles are under construction which may carry us more swiftly to our goal. Let me briefly review for you some major areas of current activity, and suggest further directions for the next few years.

The first critical element in the successful preservation program is technical knowledge — knowledge about the physical nature of library materials, the causes of deterioration, the techniques that can retard or reverse the deterioration, and the methods for salvaging information from unsalvageable materials. While much research and development is needed to refine our understanding of these things, the basic facts are now available. The pioneering work of W. J. Barrow in the 1950s gave us the essential data about paper and the factors which control its survival. Research by the Barrow Laboratory, the Library of Congress, and by Richard Smith has yielded several techniques for effective deacidification of paper on a small scale, with some promise of large-scale treatment in the future. Work by Bernard Middleton, Carolyn Horten, and Paul Banks, among others, has contributed to our knowledge of book structure and restoration techniques. Methods have been developing the stability of techniques and materials used in binding, repair, and restoration. Scientists at Eastman House and elsewhere have learned a great deal about deterioration of photographic materials and measures for controlling it. We know how to capture information from disintegrating paper, and industry standards exist for insuring the permanence of microform materials. The physical requirements for preserving sound recordings on disks and magnetic tape are known. We know what environmental conditions that must be maintained to preserve all kinds of library materials. We have learned how to dry water-soaked books.

But all this knowledge by itself cannot save our rotting collections. We are now in a period of learning to apply all these facts and figures to real library situations, and the developments are exciting. A few examples: Stanford had a dreadful flood. They used Peter Water's pamphlet on emergency procedures to guide the cleaning and freezing effort. Phil Layton and Sally Buchanan were put in charge of the recovery operation and worked with Lockheed experts, using the knowledge gained by others from earlier salvage cases, to develop an amazingly efficient and effective vacuum drying technique that sent most of the books directly back to the shelves. Of the 50,700 soaked volumes, about 13,000 — 25 percent — needed repair or rebinding after drying, and only 34 were competely lost. The collection was not a new one, most of that 25 percent probably needed repair or rebinding before it got wet, and at least 34 would have been lost in circulation that year if they had not been in the freezer. This is definitely progress, and not just for Stanford. Next week, Stanford is giving a conference on preparing for and recovering from disasters, which will make the how-to-do it of flood salvage accessible to all of us.

On another front, Gay Walker and Jane Greenfied at Yale have embarked on a major project, funded by the National Endowment for the Humanities, which has three important aspects: 1) they are developing practical procedures for surveying the physical condition of a large collection in order to plan appropriate treatment programs; 2) they are developing protective and remedial treatments for a wide range of materials and preparing detailed instructions for carrying out those treatments, which will be made available to others; and 3) they are carrying out this work with teams of interns drawn from other institutions, who will return to put their new knowledge to work back home.

A similar effort on a smaller scale is going on at the New York Botannical Garden Library. Funded by the H. W. Wilson Foundation, Hedi Kyle, Judy Reed and Nellie Balloffet are visiting small libraries in the area to guide them in identifying and tackling their preservation problems. They are conducting a series of workshops on minor repairs and protective measures which can be employed safely by existing staff using carefully selected but readily available materials. Written instructions will also be widely distributed.

As for the dreadful compounding of current problems due to the continued use of self-destructing paper in new publications, Jim Haas and the Council on Library Resources have recently revived efforts to bring together paper manufacturers, publishers, and librarians to work out an economical way to prevent this continuing cultural suicide.

You have doubtless heard hopeful statements about cooperative approaches to preservation. There are several promising efforts worth citing. The California Library Authority for Systems and Services (CLASS) has conducted a major planning effort aimed at developing a statewide program. Though still in the planning stages, the process itself has performed an important educational function, and has brought into fruitful contact people throughout the state with complementary knowledge and experience in various areas of preservation. A similar effort, the Western States Materials Conservation Project, is now under way with support from the National Historical Publications and Records Commission. Director Howard Lowell and Karen Day have been roaming the West, putting people in touch with each other, gathering data on preservation needs and resources, and developing a coordinated conservation action plan for the West. Back East, the New England Document Conservation Center, under Director Ann Russell, is enjoying a renaissance after discovering the hard way how to finance and operate a regional treatment center.

One natural area for cooperation has thus far proved unmanageable except on a very small scale. Cooperative preservation microfilming is a must if we are to save the contents of all those miles of mouldering serials and crumbling 19th and early 20th century monographs in our stacks. We have foundered thus far on the hard rocks of bibliographic control, the exchange of in-process information, and the logistical difficulties of combining broken sets to create complete film files. I look for solutions from four quarters: 1) the growth and increasing capabilities of the bibliographic utilities should help to solve our control problems; 2) the project that Dick Boss is about to tell you about may finally get microforms into the bibliographic mainstream, and thereby bring to an end the dreadful waste involved every time a library films something already available in some large set for Micropublisher X; 3) the New York Public Library has received a large Mellon grant to develop an on-line in-process control system to support coordinated filming projects among many libraries; and 4) Columbia is planning a complementary project to develop the logistical and procedural mechanisms for cooperation in collating and completing files on a large scale before filming.

Our technical capabilities, in the aggregate, are expanding rapidly; but how to turn them into operating programs in many libraries? There are three other crucial ingredients: money, people, and procedural know-how as distinct from technical knowledge.

I will say only two things about the money. It will not cost quite so much as your worst fears to preserve what must be preserved. And, experience demonstrates that as soon as practical plans are put forth, the money becomes available.

As for the human resources, within libraries we need three kinds of people: 1) professional conservators of library materials, to perform restoration treatment on items of artifactual value and to direct the work of technicians who will treat the rest of the collections; 2) conservation administrators, librarians with enough technical background to identify treatment needs and monitor the quality of physical care given to the collections, and enough administrative ability to design and direct comprehensive programs for the care, repair, and replacement of needed resources; and 3) library staffs from top to bottom with an enlightened awareness of the physical needs of the collection who can incorporate appropriate responses to those needs into every phase of library operations, from format choices at the selection stage through handling procedures in the stacks, to the making of treatment decisions about fragile materials.

Professional conservators in the United States today are few and far between. Most are self-taught, though some have come here with English or Continental training, and a few have migrated from the more developed museum conservation field. You will be pleased to know that plans are well-advanced for producing our own library conservators. With a planning grant from the National Endowment for the Humanities to the Columbia University School of Library Service, Newberry Library Conservator Paul Banks spent last fall preparing a detailed curriculum, facilities and staffing requirements, and internship plans for the first graduate program in library conservation in this country. Fund raising for that program, which will be offered by Columbia in cooperation with the museum conservation program at New York University, is well under way, and the School hopes to admit the first students in the fall of next year.

Coupled with that program, will be a sixth year program to prepare conservation administrators, the logical step beyond the workshops and single courses now increasingly available to librarians seeking educational background for developing preservation activities in their libraries. The conservation officers of today have had to teach themselves on the job; the next generation will be better equipped to concentrate on doing it rather than on figuring out what to do.

Staff awareness, in general, is developing gradually, as the topic enters the mainstream of the professional literature and of professional association activities.

This year's birth of a Preservation Section in ALA's Resources and Technical Services Division is a clear sign of increased attention, as is the proliferation of continuing education opportunities.

But technical knowledge, money, awareness, and the promise of staff with advanced formal training are not enough. The final essential ingredient is what I am currently calling procedural know-how, for lack of a better term, and now I am getting to the topic I am suppose to be talking to you about today. The NEH-funded OMS Preservation Project aims at providing the tools for putting technical knowledge and human resources together in practical programs for a variety of library situations. How should you improve the current mending practices in your library? What is involved in setting up an efficient preservation filming operation? How can you evaluate the quality of binding now done for your collection? What role should collection officers play in preservation decisions? How can you assess your preservation needs and, from that assessment, plan and fund appropriate activities? These are some of the questions for which we hope to supply useful answers.

I doubt that we will be creating or inventing much that is startling or totally new. What we will do is assemble materials from those places which have succeeded in developing one or another module of a total preservation program — policy statements, binding specifications, treatment instructions, criteria for replacement, mechanisms for monitoring environment, sampling techniques for surveying physical conditions, disaster plans, organization charts, job descriptions, staff training material — and then we will analyze and synthesize, fill in the gaps, add the latest in basic technical knowledge, and package the whole as a planning tool that will enable you to identify your needs and evaluate current practices, in order to capitalize on strengths, minimize weaknesses, and build toward a total program as staff and other resources allow. These materials will be tested in three different libraries, selected to provide a variety collection conditions and degree of preservation development, to insure that the final product will be both usable and widely useful.

If you think that sounds like an ambitious undertaking, you are right. But I believe the time is also right. I have flung around a lot of names this morning, and cited a lot of projects (though by no means was it an exhaustive inventory). In part this was to inform you of the variety of activity already taking place. But it was also to explain why the OMS project is feasible and very necessary today: feasible because the raw material is now available for such a synthesizing effort, and necessary because we must pool our collective knowledge and experience in order to avoid the wasteful effort of duplicate wheel-invention. Most of you have already contributed to the first phase of this project through your response to the SPEC survey on preservation practices this spring. And we count on your support for the hard parts that are to come.

At a Colloquium on Preservation in Oklahoma last month, several speakers advanced the notion that preservation was about to become obsolete because paper-based records would all be replaced by optical and electronic means of information storage. I am afraid that we have no such easy out. For one thing, capturing the information from the Gutenberg Bible, Audobon's prints, or the manuscripts of T. S. Eliot is not going to make obsolete the need to preserve those items in their original form. But beyond that, we must remember that preservation means paying attention to the physical needs of the media of information storage — whether they be paper, film, tape, laser-imprinted disks, or some technological wonder we have not heard of yet. There is no such thing as absolute permanence, stability, or durability in our world, and though the techniques will evolve to match the materials of the day, the fundamental attitudes of physical care, and the need for library programs to embody that care, will never be obsolete. And so, our preservation challenge of the '80s is to marshal our resources swiftly into practical programs designed to meet current needs, and flexible enough to respond future needs. All of our other efforts will be in vain if we permit our collections themselves to perish.

BIBLIOGRAPHIC CONTROL OF MATERIALS IN MICROFORM

Richard W. Boss

Information Systems Consultants, Inc.

MS. HOADLEY: Our next speaker is Richard Boss, currently with Information Systems Consultants (ISCI), who is the principal consultant on ARL's Bibliographic Control of Materials in Microform Project.

MR. BOSS: As a number of you commented at dinner last night, Salt Lake City is an unusual place and an unusual environment in a number of ways. For example, I mentioned to one person that as I walked up the street, I saw a sign that said "All Day Parking — $1.00." Two blocks further up, I saw a sign saying, "Office for Rent, $50.00 and up". And of course, we all know how much acreage one can buy in a hotel for $42.00 to $48.00! Salt Lake City is unusual in some other ways, as well. For example, it is part of the local cultural tradition to have young people, beginning at the age of eight, give two-and-one-half minute talks twice a year in their churches. I am afraid I am not going to be able to give you a two-and-one-half-minute talk this morning despite the environment, because it has been an awfully long time since I have had that kind of restraint. Nevertheless, we are very hard pressed for time, and I am going to try, therefore, to make references to the full report, which the Board has agreed to have mailed to you some time next week. I hope that my comments this morning will prompt you to look at it. About 10 days after the mailing of the report, it is our intent to contact a substantial number of you by telephone and to talk with you about some of your reactions to the report.

The reason why I think we are looking at microforms again, now in terms of bibliographic access, is that even though it was a serious issue when Felix Reichmann and Josephine Tharpe looked at it a number of years ago, it is becoming more significant in that the number of microforms in our libraries is growing so rapidly. Ten years ago, for example, when we had about 130,000,000 hard copy books in ARL institutions, we had only 27,000,000 microforms. This past year, ARL libraries reported 218,000,000 hard cover books, and 198,000,000 microforms, so the number of microforms is increasing much more rapidly than the number of hard copy items. You might say that this, in part, is due to the growth of ARL, and indeed it is. So, what ISCI did was to look at the statistics of those institutions that were members of ARL ten years ago for that period and for the current year, and we found that even for those institutions, the ratio of the number of microform pieces to the number of hard copy volumes had risen from a 1 to 5 ratio to a 2 to 5 ratio, that is, it had doubled during that ten-year period. Thus, microforms seems to be a significant issue in most of the ARL libraries rather than just in those who may have emerged recently, buying a large number of their titles in the micro-format.

After spending some three months talking with librarians, microform publishers, and bibliographic utilities, and researching the literature, we determined that any system would have to be based on certain principles that would have to move away from the concept of exchanging catalog cards, either from a microform publisher to a library or among libraries, through some kind of clearinghouse, to a concept based on machine-readable records. We also determined that the core of this type of program should be the existing bibliographic utilities, which already represent a tremendous investment in hardware and software development and in expertise that could continue development for the future. The preliminary discussions really lead to the development of a tentative plan which, in a series of site visits and telephone conversations, we tested on a large number of people. The plan evolved as we talked with people, rather than being a single plan to which people reacted; we amended as we went along, attempting to develop something which would reflect a consensus among the various communities.

I would like to describe the plan briefly to you this morning. The first element is the adoption of the Library of Congress's statement on access points for microforms, which is discussed substantially in our report. There has been considerable concern that we are not getting the description of the physical microform entity into our bibliographic records in the way we should. There has been an absence of a standard, as well as a lack of completeness. This appears to have been addressed by the Library of Congress in their statement on access points. In the many conversations we have had, we confirmed that the statement has had wide consultation and broad support; in fact, the Library of Congress intends this summer to notify MARC users of its intention to adopt the statement.

Another element of our plan is the adoption of the Library of Congress's proposal for a revised field 534. Under this proposal, this note field in the MARC format will be revised so that it is much more detailed, and so that one can search by specific elements of the field. As you may remember, with AACR 2 one is cataloging, or describing, the item in hand. If an item is a microform copy of a book, information about the microform publisher will be in the imprint, while information about the original edition will be described in a note. In order to satisfy those who are very much concerned that the person approaching the card catalog, or any other form of catalog, is able to get to a complete description of that original, and to make sure that it is possible to search by the bibliographic elements of the original, the revised 534 field concept was developed by the Library of Congress. We found a range of reactions to this concept. There were many who supported it because they felt it met their needs. There were others who supported it because they said it was a good interim solution until such time as a review of AACR 2, which they hoped would occur, would have taken place. The general view of this group was that consideration of the kinds of revision in AACR 2 that they feel are necessary for cataloging microforms will continue beyond 1 January 1981, and one interim solution offered by LC would be much better than every library developing its own "band-aid". It would be much easier to move from one interim solution to a permanent solution than from many interim solutions to a permanent solution.

A third group took the view that any support of an interim solution might forestall facing the issue of AACR 2, and therefore, they have marshaled their efforts to seeking a revision of this section of the code prior to 1 January 1981. There is now a subcommittee of the RTSD Committee on Classification: Description and Access (CC:DA) which is attempting to develop an alternative solution. The proposal the subcommittee wanted the CC:DA to support is one that would provide for adding a chapter to AACR 2 that would specifically deal with microform republications of materials originally produced in hard copy, which would flip-flop the AACR 2 so that the hard copy original would be described in the main body and the notes would contain the details of the microform copy. The original microform chapter of AACR 2 would then be limited to microforms that are original microform publications. If the committee is able to reach agreement on a position, it will be presented to CC:DA in June, with the hope that this modification might be discussed at a special meeting of the Joint Steering Committee of AACR 2 prior to 1981.

The point of view ISCI has taken in the report, since we have found there is a wide spectrum of opinions with no majority view on this issue, is that the adoption of the 534 field interim solution seems very wise. Because there are so many interests at stake, we seriously doubt the validity of any other decision. Frankly, we do not see an easy resolution, and we will continue to monitor this issue. We do support the idea of the review of the AACR 2 rules in our interim report.

There is wide-spread support, regardless of the point of view taken on any of the aforementioned issues, for the entry of bibliographic information about microform publications — and specifically our study focuses on monographs in microform collections — into the data bases of the existing bibliographic utilities, by libraries and microform publishers. While as recently as three years ago the general attitude toward the cataloging done by major microform publishers was relatively negative, as the result of the appointment of professional cataloging heads and professional cataloging staffs at four or five of the major microform publishers, the quality has substantially improved, and we found overwhelming receptivity by many cataloging department heads and technical services heads we interviewed to the idea of having microform publishers enter bibliographic information into the utilities data bases, providing that information conforms to accepted standards. We found, however, that the microform publishers had mixed feeling about entering of the bibliographic data into the utilities. While they would love to get out of the catalog card business (in fact, some of them have areas as big as this room full of catalog cards waiting to be shipped), they fear that the direct entry of bibliographic information into the utility data bases will cause the loss of an important source of income that has been underwriting the cost of much of that cataloging. While no publisher admits to making any profit, and a number revealed data that suggested they are recovering only about 60 percent of the cost of doing the cataloging from the sale of catalog cards, none want to lose the revenue they are now realizing. So, there has to be some kind of reimbursement for those microform publishers, in order to provide incentive to put the cataloging data into the bibliographic data bases.

We have explored various approaches with those we have interviewed, and it seems that the most popular approach is a license arrangement, in which every few years, or perhaps once a year, an agreement would be negotiated between a bibliographic utility and a microform publisher for the bibliographic data for that publisher's planned publication. The cost would then be factored into the operating cost of the bibliographic utility in the same way as the cost of procuring an LC MARC tape on subscription.

The two other approaches we suggested received less support. One was merely record keeping on the part of the bibliographic utilities so that the publishers would receive the information and use that as a basis for billing those libraries that had actually used the bibliographic information entered by the publishers. UTLAS in Canada is doing this, for example, in the case of one microform publisher in Canada; it merely reports what libraries have used for cataloging purposes and the publisher bills the libraries directly. Of course, this means that the publisher can set the price at whatever level the publisher wishes.

The second approach was the other extreme, a royalty system so that every time a record is used, there would be a royalty payment paid to the microform publisher. Those who espouse this view are generally cataloging heads who are used to this method of charging, and they seemed to think that around $0.50 per title would be reasonable. We found among the library directors and the technical services heads that we interviewed, that there is a much stronger support for the notion of a license fee negotiated between bibliographic utility and the microform publisher.

In another area of concern, we asked the various library individuals we interviewed about what it would take in their institution to induce them to use this kind of a system. Obviously, in those institutions that had had a practice of buying catalog cards from microform publishers and doing original cataloging for virtually all microforms — about fifteen major research libraries — having these records in the bibliographic utility bases might have sufficient appeal. But for those libraries that have not been spending very much money on bibliographic access to microforms, what is it going to take to bring them into this kind of a system?

Along the continuum from merely entering records into the bibliographic data bases allowing libraries to use these records in the same way they now use other catalog records, the next step would be a concept called "profile matching." The profile matching concept is basically one in which the library would enter the title of a microform collection it had just bought, and all the monographic titles in that microform collection would be matched to the profile of that library, the archival tape updated, and cards, if the library chose to order cards, produced and sorted in filing order and shipped. Instead of spending, say, two minutes per title at a terminal to catalog a set such as Landmarks of Science, one would spend two minutes and with a single machine transaction, catalog the whole set by matching the profile of the series or collection to the library's requirements. Obviously, there is some software work involved for the libraries. This particular approach would not change the payment by the library to the bibliographic utility. The number of cataloging charges that would be incurred would be the same, only labor costs would be reduced. How many libraries would participate on that basis? Would that be enough of an incentive?

Yet a third approach that we have suggested is using this machine readable record to create a by-product of some kind, for example a COM index to monographs in microform collections. This idea seemed to have quite a fair amount of support from libraries that had done absolutely nothing in the past with regard to bibliographic access to microforms. On the other hand, it drew almost hostile reaction from those who say that that kind of an approach continues to relegate microforms to a second class form of library medium, and in the light of the increasing role microforms are playing, what we should look for is a way of fully integrating microforms into the main stream of our library collections. It would seem, however, that if we focus our plans on this first or second point on the continuum, this by-product might develop at some later time in any event. What we really need to determine is if there is enough support for inputting the bibliographic records and for profile matching to create a viable program.

Yet another element of the plan is a cooperative retrospective cataloging program, because many of the librarians we talked to stressed that libraries are currently acquiring microforms and soon a significant portion of the monographs in microform in our collections will have been bought since the beginning of the program. Libraries have hundreds of thousands of items in their collections now that need better access. The series most frequently mentioned for improved access is Landmarks of Science, and in fact several libraries are inputting it right now. We visited SUNY Stony Brook, which had been systematically entering Landmarks of Science into OCLC. When they got to about the letter "c", it became quite obvious that there was some other activity. Utah was entering Landmarks of Science, and George Mason College was entering Landmarks of Science; altogether some seven or eight institutions all seemed to have programs at various stages for systematically entering Landmarks of Science into the OCLC data base. How many of these kinds of duplicate, uncoordinated actions are under way is one of the things we hope to determine in the next phase of our study. This kind of effort, even if it is not financially unwritten but is merely coordinated as part of this plan, can be useful to the libraries throughout the country.

Each of these elements is discussed in some detail in our report. The points about which we intend to ask you most fully, because they are the points where there is the greatest amount of uncertainty, are: 1) questions concerning the pattern of compensation to microform publishers who enter data into bibliographic data bases in conformity with accepted standards; and 2) the question of how essential is profile matching, or perhaps even the other step along the continuum of a COM index to monographs in microform collections, to have a viable program. It is our intent to have some detailed discussions soon with bibliographic utilities about specific software and other efforts that will be necessary on the parts of those bibliographic utilities in order to make this type of a plan work.

I should mention, too, that we are still pursuing another alternative. Some microform publishers would prefer a service bureau that would serve microform publishers for the cataloging, so that it would be possible for the microform publishers to sell magnetic tapes to the bibliographic utilities much in the same way that those tapes are now sold by these service bureaus for purposes of loading circulation systems, in order to give the publishers greater control over the production of the bibliographic file. The problem, of course, of trying to develop and maintain the kind of sophisticated hardware and software systems needed to support such an effort is very great indeed. One microform publisher has sought to take this approach with a major book jobber and has found that, despite the book jobber's fairly good record in supporting circulation systems and COM catalogs for libraries, the jobber has not been able to satisfactorily meet the requirements of the microform publisher, especially a microform publisher that has already begun cataloging using AACR 2 rules. This has tended to cause other microform publishers to shy away from the service bureau concept, and even worse, this is causing the service bureaus to shy away from the concept. We are still looking for another potential service bureau that might play this role for the microform publishers so that we are not in a situation in which we put all of our eggs in one basket.

For a number of reasons that I do not have time to elaborate on now, one of the results of the study of bibliographic access to microforms, funded by ARL a decade ago, recommended what is still today, by those we have interviewed, considered the ideal solution: to have Library of Congress catalog all of the microforms and distribute the records through the LC MARC tape distribution service. Unfortunately, the Library of Congress is not able, given various pressures, to respond positively to that recommendation, and I hope one of the things we are able to accomplish, even if it is not an ideal solution, is a solution that will be workable, a solution that can work, even if some element in the system — some microform publishers, some libraries — decide that they do not wish to participate. Even if we wind up with two solutions, they nevertheless have a way of coming together, so that we do realize our objective of improving bibliographic access to microforms.

DISCUSSION

MS. HOADLEY: We'll open the discussion now for questions for any of the three speakers.

UNIDENTIFIED SPEAKER: Mr. Smalley, I am a slow learner, and I did not understand what you said about linkages. I have been reading about it, and I still do not know if I understand. But the way it sounds to me, most of us have access to one bibliographic utility. We do a search, we do not find what we want in that data base, and then we go back to all our other sources: Mansell, the British Museum, etc. If I am hearing you correctly, the linkage is that we are going to change that walking around before we decide to do our original cataloging from several different hard copy items to several different kinds of terminals. Now, if that is really the case, it seems to me what we are doing is again automating an old system rather than trying to develop the intellectual background so that we can have the multiple access points that presumably computers are able to give us, compared to the limited access points that each of the paper sources allow us to have. My question is, is your project looking at the intellectual effort of trying to combine multiple data bases for multiple access at one point?

MR. SMALLEY. Yes. Perhaps a quick fix would be to have a different terminal for a different data base, but that is not necessarily desirable. The ideas we have been looking at in considering on-line links would be to convert the terminal you are currently using into a device that would access not only your own utility, but any of the others as well. So we have examined the requirements for software to make that possible, rather than having three different terminals for three different utilities. I am not quite sure what you mean by the intellectual effort required to develop access from a single point, but that is the kind of thing we have been looking at. The single point would be the terminal that is now being used with the added capability of instructing the central computer at the utility to switch that terminal to another data base.

UNIDENTIFIED SPEAKER: When you move from the Library of Congress catalog to the British Museum catalog, you have to change to another mind-set. You just do not move from one to another, and I am saying that intellectually it might be possible with a computer to take these multiple mind-sets with a translation of some sort.

MR. SMALLEY: Yes, we have considered that, but the scope of the project has not been to try to determine what kind of translation would be required. We only know that, of course, there would be some sort of translation required, and with different alternatives for linking there would be a different degree of translation involved. We looked at the computer programming requirements for translating formats and tried to estimate what would be involved, but it was not the purpose of the project to actually get into the business of designing translations, or even determining the intellectual requirements for translating between the formats of two different systems.

MR. VEANER (University of California, Santa Barbara): What I have is perhaps not properly a question, but a comment relating to one aspect of Mr. Boss's report. It concerns the matter of profile matching, whereby an operator would sit at a terminal and, via a single transaction, process many thousands of titles by adding statements to the bibliographic records, and thus would be able to get, at one fell swoop, a large mass of cards or a tape. I think this is a very highly desirable capability to have, and during the discussions of the advisory committee for this project, one of the suggestions that was made was to discuss with the utilities a bulk rate for conducting this kind of profile matching. It is my understanding that the utilities were not very receptive to this suggestion. However, because of the tremendous potency of the profile matching and the tremendous costs to the participating libraries of cataloging individual titles if there is not a bulk rate, I would urge the membership to consider communicating their concerns to the utilities, perhaps furthering the negotiations of a bulk rate.

MR. BOSS: I think that, in concept, the bulk rate is something which is not only desired by many of those with whom we have spoken, but also by the study team. In terms of the practical negotiations with the bibliographic utilities, we feel it wise to have them understand more fully the implications of this type of program on their revenue flow, their computer resources, their research and development staff, and so forth, before moving to a discussion of that issue. I am fearful that by focusing too much on that issue too early, we will run the risk of causing the utility representatives to back away from discussion prematurely. So while it is very much on our minds, our sequence suggests that the question of a bulk rate is best raised at the meeting with the utilities following the ones that we anticipate about two weeks from now.

THE FUTURE OF ARL

A CHARTER MEMBER'S VIEW

David C. Weber

Stanford University Libraries

MS. HOADLEY: The program so far has looked at the future of libraries in general; this segment of the program will focus on the future of ARL. ARL, like the libraries we represent, will soon be faced with new concerns and new directions. Three members have been asked to speak, each with a different point of view. Our first speaker is David Weber, Director of Libraries at Stanford. He is going to speak from the point of view of a director with many years of experience in the Association.

MR. WEBER: Well, Stanford may have been in ARL for a long time, but I have certainly not been; I am not that old.

I was, I believe, asked to speak about the decade ahead for university libraries, as well as ARL. A short treatment of this large subject must indeed be succinct. I shall begin by characterizing what I see as the conditions of the 1980s. Then, after stating some of the worrisome trends and options before us, I shall conclude with a few comments as to how ARL could contribute to the achievement of our goals for maintaining strength of collections and services, while citing some of the liabilities and assets of our organization.

To begin, I will cite governmental, institutional, financial, and technological circumstances affecting conditions, in the decade ahead. First, in the govermental arena, the world may well be one of instability, of United Nations ineffectiveness, of the U.S. financial inflation and a shortage of raw materials, of weakness from the trend of the U.S. toward being a welfare state, and of a qualitative loss due to the equalizing affect of much stronger governmental controls, a condition I will return to later. These are indeed sufficiently major influences to limit sharply our achievements.

Second, on the institutional level, there will be more subtle, but perhaps equally powerful forces at play. It is conceivable that, forced by the most dire of national or international circumstances, academia will radically change from its present nature. However, I think that not likely. Cornell's former President, James A. Perkins, has described how biases are frozen in the organizational concrete of German, British, and American institutions. The faculty are in most instances conservative when it comes to their disciplines and their prerogatives. This conservative position, plus the fiduciary obligations of trustees and regents, are more than a little stultifying. It can be seen that innovative institutions such as Florida Atlantic University, Hampshire College, or the University of California at Santa Cruz, have each taken strong turns in a traditional and conservative direction. There will be, however, much more heterogeniety in higher education, more complexity, more interlocking with governmental and business interests.

Universities will rely much more on a hierarchy of supra-university institutions such as state and regional boards of education, the Western Interstate Compact for Higher Education, the Committee on Institutional Cooperation in the Midwest, the National Merit Scholarship Corporation, the E & I Cooperative, TIAA, the Institute of International Education, and the Brookhaven International Laboratories; one could cite many others in this trend. Supra-institutional library organizations, such as the Research Libraries Group, the Center for Research Libraries, and many others, are certain to multiply as well.

Third, turning to the financial conditions, our institutions and their libraries have had severe problems, and will have severe problems in the decade ahead. Libraries cannot look forward to having a greater proportion of the Gross National Product or a larger amount of university resources. Social concerns such as environment and transportation may require more resources, and foreign economic conditions may severely impact even our library and university budgets. As to the influence of governmental policy, it would seem that there must continue to be major support for the underpriviledged, the semi-literate, and the rurally located. There will still be a great many who at any one time are unemployed. For higher education, the economic consequences are sobering.

Given the dynamics of demography, school financial reform, Proposition 13, special-interest politics, and public attitudes toward public schools, there has been increasing public acceptance of the principal of public support for private schools and colleges and universities, and it would seem only a matter of time before some movement on this front occurs. Results are uncertain — for example, vouchers, tax credits, tax deductions, scholarships and loans, or some combinations — yet the trend is certainly in motion.

The increasing strength of the private sector in the elementary and secondary level of education is in contrast with the precariousness of private post-secondary education. One of the probable circumstances of this decade may be the weakening of private higher education. Since government provides a major subsidy for public higher education, which keeps tuition low, the economic competition of public and private colleges points to grave problems for the very survival of private colleges and universities, especially since so many federal and state laws are requiring the private sector to act and be accountable just as in the public sector.

In the total of higher education, there seems no undertapped source of new students to offset the enrollment declines projected, unless it is a vast increase in the number of foreign students. Without maintenance of enrollment and with shrinking funds, there is no way to maintain library strength unless new service structures, collaborative programs, and inter-institutional capacities are formed and made effective.

Fourth, turning briefly to the technological conditions of the decade ahead, we can expect larger library collections of films, fiche, video disks and data sets. There will be very heavy access to computer files from terminals in one's home and office. The distinctions between libraries, audiovisual centers, and computer centers will be further blurred. An increasing percentage of major reference works will be available on-line through terminal access. A substantial proportion of long distance inter-institutional messages will be transmitted by microwave or satellite relay systems. By the end of the decade, perhaps 50 percent of library acquisition purchase orders will be transmitted to North American vendors electronically. Long distance facsimile or digital image transmission of materials will be common. And I even speculate that an economical substitute for paper will one day be found, and will have the effect of altering the sharply increasing prices of publications.

Conclusions can be drawn from these judgments of the next ten years as to our needs for action. First and foremost, I refer to the increase in governmental legislation and administration. Stanford's President, Richard W. Lyman, has said he is uncertain whether the forces that have eradicated private education in other countries will eventually be felt in the United States, and ultimately at a university such as Stanford. That remains his number one concern about the future. Public education also has a rough time. Ponder these facts. In California in 1976, there were 63 bills in the State Legislative session having to do directly with higher education, and in the same Session, there were 90 bills and five resolutions in areas relating to educational issues. True, not all of these bills passed, but many of them did, and each one of them meant that university trustee authority had been curtailed, faculty responsibility eroded, and lawyers kept busy on behalf of these institutions. In the U.S. Federal arena, consider the fact that the Federal Register devoted to regulations affecting higher education grew from 92 pages in 1965 to nearly a 1,000 pages in 1977. This is a 1,000 percent increase in quantity of federal regulations with which colleges and universities must comply. It certainly reduces the freedom of scholarly and administrative innovation.

It is not only the faculty, president, and trustees who are year-by-year losing independence and power. There are also other areas, such as accreditation, and the present governmental policy is to separate completely the job of establishing institution eligibility for federal grants from the voluntary accrediting process.

The day seems fast coming when the Department of Education may be a Ministry of Education. Ernest Boyer, the former U.S. Education Commissioner and now President of the Carnegie Foundation for the Advancement of Teaching, spoke just last month before the Association of Governing Boards of Universities and Colleges. He was very disapproving of the atmosphere of suspicion and mistrust between universities and government, a condition he believes will continue throughout the 1980s. When strong cooperation is needed, he fears that government and universities will continue to carry on their business in an antagonistic atmosphere, whereas the 1980s require campus integrity to be protected, while at the same time the Federal Government has to insure public resources are wisely used and constitutional freedoms preserved. Much of the discord between campuses and government stems from federal rule-making. While Boyer and others recognize the vital role played by the Federal Government in higher education, Boyer admits and, in fact, sharply criticizes federal regulations which are excessive, often irrationally developed and illogically imposed. It has recently been estimated, as you may well know, that higher education spends two billion dollars in extra costs complying with the federal requirements for reporting and other responsive actions!

It seems to me that there is a basic conflict here between the academic institution, attempting to maintain its traditional independence in a fiscally declining environment, and the government, willing to provide financial support with strings attached. In this situation, voluntary cooperatives such as the not-for-profit corporation, the interstate compacts, or joint exercise of powers agreement, can act as a cleansing and insulating arrangement, serving the interest of both sides of this equation.

Though I underscore this concern about governmental impact, let me touch upon a few other matters very briefly. Given the financial concerns of research libraries, there may be a requirement for a new Monticello conference such as the ARL held in the fall of 1954 — a very useful conference. Presidents and other academic offices need to be more effective in private foundations, other funding sources, alumni and friends; and we librarians must help them. On the technological front, we must be alert to leverages we can gain on services or economy of operation. Collaborative actions such as offered by RLG and others must be nurtured with persistence, care, discretion, and commitment. In summary, there must be more funds or reduced collections and services over this decade, or new structures for our efforts must be found.

Finally, how can the Association contribute to our maintaining strength in collections, improving services, and surviving effectively in difficult financial times. For one thing, the ARL can be an advocate for certain creative government programs and a persuasive opponent of others. The concepts advanced by the Carnegie Council on Policy Studies of Higher Education, the Sloan Commission on Government and Higher Education, and the new Committee on Scholarly Communication (with support from the American Council of Learned Societies, the Association of American University Presses, and ARL), could be important bellwethers of the decade ahead for ARL's activities.

Our Association must also pursue carefully selected programs. We must not let ARL burgeon and become the resting place for self-perpetuating programs which should be phased out or can be done better by others. Without being perjorative, should it not be questioned whether the ARL Foreign Newspaper Microfilm Project should now be placed under another aegis? How long a life should the Chinese Center have? Should not the SPEC Flyers be terminated? Is the Office of Management Studies a permanent staff component, or are Association energies better directed elsewhere?

And there must also be new, well-crafted ARL endeavors. I would suggest interlibrary lending and direct access, the national information system design, collection conservation, and professional education for research librarians. On this latter issue, ARL is an appropriate organization to focus on the deplorable state of professional education, especially for middle and upper management in research libraries. Also, inadequate preparation is offered for managing the specialized materials which make up such an important part of our research collections: manuscripts, historical recordings, technical reports, archives, or data sets. These formats, often an esoteric and inadequately managed research apparatus, particularly on a national network basis, are important for our institutions and not nearly so significant to other types of libraries and their associations. Here is a challenge worth ARL effort.

ARL has its liabilities and its assets, conditions which can contribute to a redefinition of ARL's mission and a delimiting of its endeavors for the decade. On the negative side, perhaps, it has recently lacked sufficient leadership. There is a need today for the new group of Dix, Downs, McCarthy, Metcalf, and Vosper. There is concern for the huge growth in number (since 1960, membership has grown from 49 to 111 institutions), and the effect of this growth on association interests and activities which are less focused so that, in turn, the organization becomes less potent. A third liability may be the protective stance which ARL had to take in relationship to the copyright law. This was admittedly forced on ARL, and it had exceptionally strong support from ALA; nevertheless, a major defensive effort can be debilitating. And there may be a loss of initiative with respect to major national programs of research library importance where one sees more of this arena taken over by activities of OCLC, RLG, the Independent Research Libraries Association, regional networks, multi-type library cooperatives and the Council on Library Resources. Has ARL left a void or is it merely that the issues are more numerous and more complex?

On the other side of the scale, ARL does indeed have major assets. There is the ARL tradition of highly selective programs and the admirable selection of wise and courageous positions on national issues concerning research libraries. Its achievements have been many and significant; one need merely cite the National Program for Acquisitions and Cataloging (NPAC). In other words, its reputation is a distinct plus. Furthermore, there is its financial health. There is its location in Washington, which, in relation to the federal concerns cited above, is of special improtance in this decade. There is its experience in federal circles, including work with the National Library of Medicine, the National Agriculture Library, and the Library of Congress. Its staff is a distinct asset. And of course there is the caliber of those individuals representing the institutions that comprise its membership.

Our challenges are many and formidable indeed. ARL must define its mission, refocus its efforts, renew its vigor, and draw you into sharing its leadership. Each of us must contribute towards the well-being of ARL, and thereby serve our own best interests. The demands of the 1980s warrant our commitment to this cause.

A NEW MEMBER'S VIEW

Anne Woodsworth

York University Library

MS. HOADLEY. Our second speaker is Anne Woodsworth, who is Director of the York University Library. She represents a library new to ARL, and a Canadian library.

MS. WOODSWORTH: I am relatively new as a director, too, so my comments will be from a "new" view in that sense as well as from the new member's point of view, and from the Canadian perspective.

From the new member's point of view, probably the best thing I could do would be to highlight the reasons that we sought membership within the Association. These reasons will tell you also, I think, what we seek out of ARL in the future. Basically, we want to contribute to and derive direct benefit from the programs and the research which ARL is able to conduct through its cooperative efforts.

The strength of the Association, as we saw it before we joined, lies in ARL's ability to deal collectively with problems which face and which are common to research libraries in North America. The research, the surveys, the analysis of problems, the solutions that are found, such as the preservation/conservation project, the bibliographic control of microfilms efforts, the self-study programs, and other forms of experienced management assistance, are what we considered very important and will continue to consider very important in the future. In fact, as many people have said in the past two days, should the economic climate not improve significantly, the cooperative approach to solving problems will become the only way for a library to focus resources on problems that are larger than any given institution.

I believe that the Association's mission as articulated in the early '70s should continue to be its mission into the future. I will read the mission to you in case you do not remember it: "To strengthen and extend the capacity of its member libraries to provide the recorded information needed both now and in the future by the research community."

I mentioned briefly the need for experienced management assistance; this has also been highlighted in the past few days. To us, this refers first to the services of the Office of Management Studies, and second to ARL as a forum for direct exchange of information among library directors. The latter, I think, benefits primarily the library directors themselves, while the impact of OMS is on the total staffs in our libraries. Our need of OMS will continue, especially if the Office continues to direct efforts at developing the self-study programs which will help us solve specific and very serious problems within our libraries. In the self-study process, I see a further benefit which I have not often heard mentioned, which is to develop an informed and thinking library staff, and as a result, a library staff that will be able to better serve its community of scholars and researchers.

As I said earlier, the contacts and discussions among library directors, is, in my opinion, of secondary importance. I would be very much opposed to having ARL revert to being the small informal discussion group that, as I understand it, it once was. Not only would my fellow female directors and I be excluded by definition, but, I think, the usefulness of that kind of network has passed. The world is increasingly technology and information oriented, as we heard earlier in the program. The pace of life has quickened, and the environment of the future will not permit the kind of casual solution to problems an informal discussion group fosters. Time is becoming increasingly expensive, and all of us have to be increasingly accountable for expenditure of time and money.

Maybe the older, charter members bemoan the fact of the Association's days of less structured, informal meetings are gone. I, of course, do not miss them because I never experienced them. However, if ARL shifted away from having well-prepared and well-documented meetings, well-prepared agendas and discussion papers, I would be dismayed. As I said, there is too much to do, and too little time in which to do it. If some members wish to return to that informal approach, I think it can be done within the confines of the program sessions. We have seen at this meeting some indication of how well informal or smaller group discussions can work in a larger framework. I should also add — a little sarcastically from the Canadian point of view — that perhaps this forum could be provided at the expense of some of the issues and discussions which pertain to your White House. I am being facetious, but there is a serious point that follows: ARL has members from two countries.

In future, I believe the Association must pay more heed to the problems and issues which are represented by this international facet of its membership, not only in order to prevent the loss of Canadian members (more on that later), but also in the interest of access to information regardless of the border that defines Canada and the U.S. as separate countries. Permit me to illustrate. If we are looking at the problem of ownorship control and distribution of bilbiographic data, should we not take steps on both sides of our border to insure legislation in our respective countries that will permit data to leave and enter without taxes, import licenses, or other surcharges which will reduce access to that data? If our countries continue to feel the economic pinch they now encounter, will they not cast their tax nets over that burgeoning business called the information industry? That would have a serious impact in our libraries operations.

The tendency toward nationalism is something else that, I think, will have an impact on ARL in the future and not only in terms of transfer of information. We have already seen it in the transfer of people — human resources. In the past ten years, I have seen both the U.S. and Canada tighten their immigration laws. (I am not sure whether the more restrictive border hopping is to keep our riff-raff out of the U.S., or to keep your cream from taking over Canada, but the tighter restrictions are there, nevertheless, and I suspect it will happen in other areas as well.) Perhaps what libraries in the information world need is the equivalent of the "auto-pact," an "info-pact" between the two countries. I will leave that with you.

I mentioned briefly the potential loss of Canadian members within ARL. Some of you may have already heard that within the past six months, there was indeed a flurry of letters north of the border asking if it was time for all Canadian members to withdraw and seek affiliation with ARL through the Canadian Association of Research Libraries (CARL). The reasons for proposing this withdrawal were as follows:

1. Why not sink our money, our fees, our travel time into the smaller, more informal CARL. Some of the smaller Canadian members may get kicked out of ARL anyway, so is it not better to leave gracefully before we are victims?

2. How can the leaders of the larger libraries in Canada devote so much time and energy at ARL meetings at the expense of that time and energy within their own country?

3. Some people say the primary benefit of ARL membership is contact with U.S. colleagues, and that contact could be maintained some other way.

I will not bore you by repeating the first part of my talk in order to give you the arguments of those of us who felt that ARL membership is a benefit, and will continue to be a benefit. The group withdrawal of the ten Canadian ARL members has been laid to rest for the time being, but not permanently. And, in view of the larger political and economic environment, the Association will, in the relatively near future, have to come to grips with the very fundamental question of what the arena for the Association's activities will be: the U.S. or North America. If the arena is to be North America, then the Association will have to take increasing cognizance of the dual legislative and political constituencies within which the members opt to live.

AN OFFICER'S VIEW

Jay K. Lucker

Massachusetts Institute of Technology Libraries

MS. HOADLEY: The next speaker is Jay Lucker who is currently the Vice President/President-Elect of ARL. He will speak to the point of view of an Officer of the Association.

MR. LUCKER: In commenting upon the future of the Association of Research Libraries from the perspective of a member of the present Board of Directors, I will try to focus my comments on the role and function of the Board and its officers in carrying out the mission of ARL. The mission was well expressed in the report of the Committee on Role and Objectives that appeared in the Minutes of the May 1973 Meeting: "The mission of the Association of Research Libraries is to strengthen and extend the capacity of its member libraries to provide the recorded information needed both now and in the future by the research community."

In order to fulfill this mission, the Committee defined four major objectives as a basis of the continuing programs of the Association:

1. In response to changing circumstances, it initiates and conducts studies, develops plans, and implements specific courses of collective action, on both interim and continuing basis, concerned with the acquisition, organization, preservation, and provision of research library materials, and with the management of research libraries.

2. It seeks the understanding and support of governmental agencies and other appropriate organizations.

3. It cooperates with other educational and professional groups in undertakings of mutual interest.

4. It assembles and distributes information pertinent to research libraries and their services, management, and organization.

Goals and objectives statements have often proved to be useless products of futile exercises and receive a well-deserved anonymity in the dusty recesses of filing cabinets, later to gain a measure of immortality by being included in the official archives of the organization that these documents were intended to serve. While ARL may not always have had the above objectives in the forefront of its collective mind, I do believe that we have done a great deal in the years intervening since the statement quoted above was developed, to undertake, develop, and carry out programs that would "strengthen and extend the capacity" of our member libraries. In support of that argument I would cite some of the topics that have been discussed at this meeting and others described in the most recent issue of the ARL Newsletter. An unalphabetized list of subject headings and added entries that one might assign could include the following: energy, video technology, preservation, bibliographic utilities, interlibrary loans, national networks, scholarly communications, authority files, management interns, government documents, copyright, microforms, acquisitions, statistics, library education, management, the Library of Congress, the National Commission on Libraries and Information Science, the White House Conference on Library and Information Services, the Congress of the United States, the Copyright Office, the Council on Library Resources.

I do not suggest by the above recitation that all these descriptions represent major achievements of programs; what they do show is that ARL is involved in a wide variety of programs with a wide range of objectives interacting with a substantial number of organizations and groups. One of the major concerns I see for ARL in the years ahead is to decide which programs, which objectives, and which linkages with other agencies and organizations will serve best to attain our goal of strengthening and extending.

ARL is an organization of research libraries, normally represented for official purposes by their respective directors, university librarians, deans, or whatever title some of our parent institutions have managed to conjure up. It is my strong belief that the decisions on the future of the Association are the responsibility of the members. If we are to move forward toward our goal to strengthen the research libraries in the United States and Canada, and to improve the quality of service that these institutions provide, the involvement and commitment of all of us are required. This must be done, however, in a systematic, orderly, intelligent, and, let me add with an eye toward the budget, in a cost-efficient manner, and it is here that I see the potential for the most important and effective use of the Board.

It is difficult to find in the official documents of the Association a prescription for the role of the Board of Directors, or for the Officers of the Association. Article III, Section 1 of the Bylaws states that "there shall be a Board of Directors which shall manage the affairs of the Association." The functions of the officers is equally well defined in Article V, Section 1: "The President shall preside at meetings of the Association and of the Board of Directors. The President shall perform all duties incident to his office, and such other duties as may be prescribed by the Board of Directors. . . . The officers shall have and may exercise all of the powers of the Board of Directors between meetings of the Board, and when necessary. Their actions shall be subject to subsequent ratification by the Board of Directors. "These statements appear to be either a mandate to take on the world, or conversely, to do nothing.

I must digress at this point to express my personal unhappiness with the obvious anachronistic use of the word "his" in describing the President of the Association. While it may not do much to further the overall cause of research libraries, I do think it is about time for our Bylaws to catch up with reality.

In looking ahead to the next decade, I would characterize the priorities of the Association as falling roughly into two general categories. The first accomplishes those programs and projects that look inward into the member libraries. In this area I would cite the need to develop mechanisms and techniques to enable us to manage better the research libraries for which we are responsible. The Association must, if it is to survive, be responsive to the immediate and long-range concerns of research libraries. The resources that ARL has at its disposal includes both the expertise available in our collective staffs and the capabilities to be found in the Washington office: the Executive Director, the Office of Management Studies, and the entire ARL staff group. The Board of Directors should, I believe, identify the needs of the member libraries; establish specific goals and objectives; develop a plan of action — intellectual and financial; seek, encourage, and, yes, even require the participation and approval of the membership, then move ahead.

The second category of priorities deals with those activities and organizations external to but intimately connected with the needs of research libraries. In this arena I would cite our relations with university administrators, educational and research organizations, national networks and utilities, government at all levels, and international agencies. The Board, acting for the Membership, should have as one of its major purposes the establishment, utilization, and strengthening of linkages with these bodies.

I have, up to now, dealt primarily with generalities. Let me get to some specific issues. ARL has been identified during its not-so-long history with a number of programs, all of which have had an impact not only on the research libraries of North America, but on the academic and scholarly community. The Farmington Plan, the National Program for Acqusitions and Cataloging, Title II-C of the Higher Education Act, the Office of Management Studies, and the Center for Chinese Research Materials are only a few. Despite these accomplishments and despite what I see as a substantial number of important current activities, I have sensed in recent months — perhaps even longer — a malaise, a feeling of frustration, a disappointment that ARL is not doing more and doing it more effectively. As a member of the Board for the past two and one half years and as an officer since October 1979, I have had an opportunity to be closely involved with the inner workings of ARL. While I am by no means pessimistic about the present state and future viability of ARL and certainly do not feel frustrated, disappointed, or generally unhappy about ARL, I think we can do more.

Here are some of the matters I think the Association, and particularly the Board, ought to be addressing in the months and years immediately ahead.

1. We need to continue to look at our internal priorities. We should evaluate and, if necessary, redefine the priorities of those programs directly administered by ARL. The Office of Management Studies, for example, has made tremendous contributions to advancement of research libraries. We must be vigilant, however, to ensure that, insofar as possible, the activities have a relevance and impact that is, in the first instance, significant primarily for the Association. To date, I know that this is the case, but the Board must maintain close contact with the staff and with the OMS Advisory Committee to provide the support required and to reflect the needs and concerns of the Membership.

2. We need to do more in the areas of resource sharing and cooperative collection development. I believe ARL could have a significant role to play as we move toward a national bibliographic network. Regardless of the specific commitments of individual libraries to one or the other of the several bibliographic systems, ARL is the natural forum and natural focus for cooperative efforts.

3. We should take advantage of the renewed interest among education associations in the problems of research libraries. Not only contact but cooperative ventures should be established with the Association of American Universities, the American Council of Learned Societies, the American Council on Education, the American Association for the Advancement of Humanities, and others.

4. We must continue to expand our working relationships with the Library of Congress, the National Endowment for the Humanities, and the Council of Library Resources.

5. Above all, we must take a leadership role in the promotion, development, enrichment, and effectiveness of research libraries, for surely, if we do not, someone else will.

As great a disaster of not doing anything is the disaster of trying to do too much. ARL is not the only organization or the only means by which research libraries can be strengthened and expanded. Each member library has resources available to it that are generally independent of its participation in the Association. Our individual collections and staffs, local and regional networks and consortia, the bibliographic utilities, the great national libraries of the United States and Canada, national and regional library associations, as well as the purveyors of bibliographic, technological, and management services are vital ingredients in research libraries. ARL's function, as I see it, is to make certain that whenever and wherever possible, the potentialities that these activities offer are known to, used by, and integrated into the research library community. The role of identifying, evaluating, communicating, and supporting is one for which ARL is well-suited, and one which ought to be among the highest priorities.

I have been involved with ARL for almost twelve years as a committee member, as a library director, and, most recently, as a member of the Board. It has been an exciting experience. I have learned a great deal about research libraries, about information, about academic institutions, and about how to learn about these things. I am convinced that the Association of Research Libraries has had and will continue to have a vital role to play in the strengthening and extending of our libraries' capacities to provide information.

We have been talking today about the future of ARL. For my part, I cannot conceive of a future without an ARL.

BUSINESS MEETING

Report of the Interim Executive Director

MR. McCOY: This has been an interesting and eventful four months for me. I have learned more about the Association and its work in this brief time than I learned in all the years I was an ARL director, which suggests that we might be able to solve the matter of a permanent Executive Director by a system of rotating ARL directors in the job. Of course, the Association might fall apart, but it would be good in-service training.

I discovered shortly after my arrival that one of the major functions of the Executive Director is what is known in Washington as "lee-a-zing." Liaising is the art of getting national organizations to do things that will help you while trying to keep them from doing things that will hurt you. Of course, not all of the hundreds of associations with headquarters in Washington are appropriate for liaising. We do not have a great deal in common with the National Rifle Association of America, or the Acupuncture Association, or the National Association of Truck Stop Operators. But we have done a great deal of work with the scholarly societies, especially with respect to the National Periodical Center (NPC).

Early this year we learned to our dismay that, despite the fine report of the National Enquiry into Scholarly Communication, which recommended a national periodical center, the word had not trickled down to the various societies and their journal editors. We found substantial opposition to the NPC coming, in part, from individual faculty members, who had, in turn, been aroused by the propaganda of the information industry. The surprising opposition — that is, surprising to us — from members of the scholarly community, undoubtedly had a greater impact on members of Congress than the more predictable opposition from the commercial interests. And this opposition continues. Only last week, we saw a copy of a letter from the editor of a journal housed on a university campus to a parent society in Washington urging, in almost hysterial tones, to stop the NPC. He wrote that the center would ultimately destroy his journal, leaving him with only one subscriber — the NPC — which would transmit articles electronically to any library in the country on request, without payment of copyright. He had gotten this completely false notion of the NPC from a member of the university faculty.

We have been addressing this problem of the lack of understanding among scholars in several ways. First, working with the Association of American Universities, we have held several briefing sessions with association executives and journal editors, in which a number of library directors participated. Second, we are represented on the Committee on Scholarly Communication, appointed by the American Council of Learned Societies to give continuing attention to issues raised by the National Enquiry. At the last committee meeting in New York on April 18 we talked with a number of journal editors, invited as guests to consider the NPC. And, third, we have recently developed, in cooperation with the American Association for the Advancement of the Humanities, a proposal for an invitational conference on communicating changes in research libraries to scholars. The conference would involve a small group of library directors, university administrators, association representatives, and scholars, who would be brought together to discuss the impact of economic and technological changes on large research libraries, and how these changes could best be communicated to scholars. The ARL Board has approved the proposal with suggested changes so that we can now join with other sponsors in seeking foundation support.

We hope these efforts will stimulate further communication between librarians and scholars on campuses around the country. There is a need for grassroot activities — for library directors to do their own liaising with heads of university presses, with local journal editors, and with faculty members who are key figures in their respective national societies or who are members of editorial boards. Such efforts should be extremely helpful, not only in support of the National Periodical Center, but also in providing understanding of broader problems faced by large research libraries — problems that have impact on the scholar who is both consumer and producer.

Before leaving the matter of the NPC, let me give you a brief status report. The reauthorization of the Higher Education Act, with the so-called Javits compromise in Title II-D, passed the full Labor and Human Resources Committee of the Senate on the last day of April, and it is likely to go to the Senate floor next week. If approved, there will be a Senate-House Conference Committee set up to resolve the differences between the two bills. At that time, we will press for the House version, which sets up a center, rather than the Senate version, which calls for a feasibility study. At the very least, we will seek language that will make the Senate version more acceptable to us. Since the budget process is already far along, and since the Congress will be in no mood for new programs, it will be very difficult to get the corporation funded for 1981, even though the price tag for our program is very modest. But we will make every effort and we will keep you informed. We also will be calling upon you for help at some time during the next few weeks.

I want you to know, however, that we have been doing a few other things besides working on the NPC this year. During the year, we have tried to keep you informed through the ARL Newsletter about events of special concern to research libraries, including the work of ARL committees and various staff projects, so I will not attempt to summarize those developments here. I appreciate very much the support that you have given us in accepting committee assignments and in working on behalf of various bills that have become before the Congress this year. We have tried not to cry "wolf," but when we have appealed to you for action, you have come through. Many of you have given testimony, made personal contacts, and sent letters and mailgrams. This has been a great help.

Finally, I want to express my great appreciation for the ARL staff. It has really been a privilege to work with this group, and I cannot help but think that the presence of this fine, dedicated staff should be an important factor in attracting a permanent Executive Director.

There are two organizations with which ARL has had special relationships over the years. At this time, I would like to call upon the representative of each of these organizations for remarks. First, Margaret Child, head of the Research Resources Program of the National Endowment for the Humanities (NEH).

MS. CHILD (NEH): As those of you who have read the latest ARL Newsletter already know, NEH took a 5 percent across the board cut in appropriations. Our budget had just been sent to Congress from the Office of Management and Budget and it was sent back before any hearings were held, and we were asked to reduce it. Actually, the cut was not made indiscriminately. It fell most heavily on our gifts and matching authority, which we cut back to the current year's level of $9.5 million, and on the Challenge Grant Program, so that, if there are no further cuts along the course through Congress, the Challenge Grants will be reduced by $5 million, from $27 to $22 million. I, of course, was very happy to learn that the Research Resources Program, which I direct, was not cut, and even more significantly, that the request for a new program line for conservation and education (for which we were asking initial funding at just one half million dollars next year) was left in the agency's request. We are still hopeful that this new initiative will not suffer from the current economy drive in the Congress.

Our hearings have been mixed. Our Senate hearing was fairly positive; our House Subcommittee hearing was not very positive. That hearing was, in fact, adjourned and no date was scheduled for a second round, so what is happening in the House and our funding for next year is up in the air. Another tension-producing factor is that this year, I understand for the first time, Congress is going to hold all appropriations bills until they have all gone through the screening process, so that any further reductions that are necessary can be made at the last minute. The tension of waiting for the final decision will probably go on after the end of this fiscal year.

As far as the Research Resources Program itself is concerned, we hope to start a new activity next year — a real conservation and preservation program aimed primarily at cooperative planning on a regional basis, for such things as disaster preparedness and training at various levels, all the way from training of professional conservators down to workshops for the totally uninitiated. The Research Resources Program has also, since the first of the year, been responsible for all the bibliography and index projects which used to be handled by our Research Tools Program. This has meant, in essence, a doubling of our work load over the last six months. Needless to say, this occurred without any increase in staff, so we have developed quite a large backlog.

Those of you who have sent in draft proposals for the next deadline, which is June 1, and have not yet received a reply from the NEH staff, do not panic. We will get back to you eventually. We are extending the deadline to July 1 simply because there is no way that we can comment on drafts adequately and provide enough turn-around time for you to get 20 copies through your administrations again by the 1st of June. However, from now on there will be an annual June 1 deadline and we hope that, in future years, we will be able to stick to it. We just finished the last cycle. We went to Council the end of last week with 56 projects, excluding the bibliographies and indexes, recommended for funding. Two of these are conservation projects. They are both workshop and field service training endeavors: one at the Society of American Archivists, and one at the New England Document Conservation Center. The other project of most interest that was recommended at that Council Session — it is still a recommendation because Mr. Duffey has not as yet formally signed off on the motion — was to bring up an East Asian character capability at RLIN. That is a matching offer, to which we hope a number of private foundations will contribute.

Most of the grants approved last week are typical of the kinds of projects that our program sees every year. They are straight processing, primarily of non-print materials — various kinds of manuscripts, photographs, architectural records, etc.; a few rare book collections; quite a number of guide projects; special collections of various kinds. There are also some "think pieces." For example, we are making a very small grant to the Society of American Archivists to develop a minimum list of descriptors to be applied to any kind of manuscript collection. We are also recommending a small grant which will enable three members of the staff of the Library of Congress to prepare manuals for cataloging according to AACR 2, for manuscripts, photographs, and video materials (films and videotapes). We are making another small grant to East Tennessee State University for the archivist there to buy himself a mini-computer to begin to develop some basic programs that a very small archive or historical society could use to control its collection more effectively. (You librarians just do not know how far ahead of the archivists you are in the field of automation. The problems you face are at a level of spohistication they have not even begun to think about.) And, as I say, we are making a few grants for basic training, particularly to small institutions where employees are neither professional librarians nor professional archivists but are local friends of the institution or nonprofessionals paid at minimal levels. The training will enable them, at the very least, not to do any damage to the collections for which they are responsible. That, basically, is the way I envision things going from now on. I do not see, in view of the current economic situation, that we are going to start anything very new or very exciting in the next few years.

MR. McCOY: Thank you very much, Margaret. And now for remarks from another friend and associate, Dick Hays. There have been so many changes in his area lately, I am not sure just what his present title is. But if it has not changed since I called his office last Friday, I shall call him Acting Deputy Assistant Secretary of the Office of Libraries and Learning Technologies (OLLT), Department of Education.

MR. HAYS (OLLT): I was in the office last Friday, too, Ralph, and as far as I know that is still my title. But these are changing times and acting titles come and go. However, it does indicate that, yes, there is a Department of Education, and yes, the library programs survived, and organizationally, I think, are in fine condition.

The decision, wisely, was made to keep the library programs together, along with their "colleague," all programs related to technology. It was not a light decision, as indicated in the ARL Newsletter. Up until about three weeks ago, it was an open issue as to whether the library programs would be divided up among the conventional educational divisions or would stay together. I think, given the options that the Secretary had regarding organizational issues, the library programs faired rather well. And for those of you who like titles, Deputy Assistant Secretary is a lot better than Associate Commissioner.

There are many Assistant Secretaries in the Department of Education, five of whom are principal program Assistant Secretaries responsible for the areas of Special Education and Rehabilitation Services, Elementary and Secondary Education, Vocational and Adult Education, Postsecondary Education, and a very new post in the Department called Educational Research and Improvement. It is under the latter Assistant Secretary that the Office of Libraries and Learning Technologies now resides. The Assistant Secretary is James Rutherford. I have had the privilege of meeting with him several times, and I am proud that he is the head of this unit. I have never found anyone who is more aware of libraries, and who is more excited about having them as part of his organizational responsibilities than Dr. Rutherford. I think the signs are very positive. Libraries and Learning Technology really do not fit well within the conventional educational slots, and it is nice to be in an organization that views as part of its mission cutting across all education boundaries. That is what libraries have been about for a long time.

The state of support for major research libraries, Higher Education Act Title II-C, is good. We now have two years of history under our belt, with many fine projects. I have had the privilege of visiting five of them this week, and I am pleased that they are making a lot of progress. We are now going into year three. First, there is the funding process, which we are now just winding up, with final recommendations under consideration. Negotiations will begin in a week or so, and the awards will be made at the end of June.

As for the budget process, we have escaped the fiscal scalpel for rescission and reconsideration as it related to fiscal years 1980-81. In fact, I might say, that this is the best year for library programs overall in many years. When the President decided he was going to take another look at the budget, I thought we might be in for a reconsideration, but we received continued support. I hope Congress follows the same route. One of the most important things for higher education, as Ralph indicated earlier, is the reauthorization process under way. We anticipate that Title II-C will pass pretty much as it is now, because that is the way it is in both the House and Senate bills. In connection with the reauthorization process, we have an opportunity to use a base of experience of two and one-half to three years as we review the regulations, and I would like to invite all of you to think about this. We need to think together about how we can enhance the program. For example, how should geographical distribution be handled? We have used a formula the past several years. Is that the best way? Currently institutions submit their proposals, which are reviewed by a peer panel. Should we supplement that by establishing some priorities annually or biennially, or whatever the case may be? We started out three years ago, and I think the program is doing rather well, but we have an opportunity now to make improvements. I invite you to take a look at the regulations and the way the program is administered today and submit your recommendations and suggestions. Thank you.

Report on the CLR Bibliographic Services Development Program

MR. JONES (Council on Library Resources): I had an opportunity last May in a very warm Boston to describe the Bibliographic Services Development Program (BSDP) to you. I would like to take this opportunity to bring you up to date on that program over the last twelve months. As I mentioned last year, the program is intended to do three things: 1) to provide effective bibliographic services to those who need them; 2) to improve the nature and quality of bibliographic products; and 3) to help stabilize costs of bibliographic processes in libraries. I am not going to touch on every initiative with which we have been involved during the past year, but I will touch on three major areas.

First of all, linking data bases and shared cataloging services or utilities. We have a contract with Battelle Laboratories of Columbus, and you will hear in detail about that study at the program session. We had anticipated that the report at this meeting would provide you with results, but unfortunately they have not quite finished analyzing data and formulating recommendations. Consequently, you will hear about the process and not the results. In the area of linking, we have also continued our interest in the Library of Congress's Network Development Office project and nationwide data base design, which assumes a linkage. The Council will see shortly the recommendations from Battelle relative to the nature of possible links and their impacts on costs and services, not only to utilities, but also to libraries and patrons.

Another area in which we have been active is authorities. We have funded a project at the Library of Congress to convert from manual to machine-readable form 104,000 of the most heavily used name authority file records. This is in anticipation of the implementation of AACR 2, and the AACR 2 forms are imbedded in those records. The first several thousand name authority records in that project have already flowed into the name authority file that is distributed by subscription to the various utilities.

Another important project is an RLG/WLN/LC linked authority system. In that project, we are funding RLG to develop a capacity to maintain an authority file built by contributions from multiple institutions, and are funding WLN to upgrade their authority control system to accept LC MARC authority records. We are also jointly funding RLG, WLN, and LC to work on machine and quality control issues. The utilities and LC anticipate getting a substantial amount of useful data from the Battelle study.

A third project now under way is the Task Force on a Name Authority File Service. This is an effort that grew out of a meeting in September 1979 at which a wide range of issues related to authorities and authority control were discussed. As a result of that meeting, a concept paper was developed that suggested the creation of a name authority file service, a name authority file that would be based upon the Library of Congress name authorities but built jointly by a number of distinguished institutions. Right now, that task force is doing preliminary work on specifying the requirements for such a system. We expect that, should the file become a reality, it would be offered for use to any and all shared cataloging services. This Task Force on a Name Authority File Service also is monitoring, in an advisory way, the RLG/WLN/LC linked authority system project, and is also interested in the other authority issue, e.g. subject authorities and subject access. We have done some preliminary exploration of the topic, and have yet to define the appropriate questions. The BSDP Program Committee and the CLR staff would be happy to receive suggestions, comments, or pointers in that area from any of you.

Another area in which we are becoming very active at the moment is public access to on-line catalogs. In the last five or six months, the Council has received upwards of seven distinct proposals to do a number of things in the area of public access to on-line catalogs: how people now use them; how people will use them; what patrons expect; what are the basic requirements of such a system. We are not about to fund all of them piecemeal until we have some sense of a reasonable approach to the issue. Consequently, we anticipate calling together a group of concerned people, from institutions that are involved now in providing access to on-line catalogs, as well as institutions interested in getting involved in an active way in the near future. The idea is to document the sort of experience that is already taking place, to identify the work that is already being done, and to establish what it is that has to be explored. As soon as we have identified what questions need to be answered, we will be better able to devise a plan to answer those questions.

Finally, I would assure you that the program continues to be active in standards work in a number of areas, two of which I will mention. When I reported last May, I suggested that we were about to appoint a group to help coordinate the selection of options relative to AACR 2, and that was done. The options have already been published, and those options that came up during the year were assessed. The shared cataloging services had an opportunity in an organized way to make their contributions to that process. That group will continue because there is a sense that somehow we must avoid, shall I say, the agony of another full code revision, and there must be some way to assure a process of continual upgrading of that code, one of the tasks this group has set for itself.

Finally, I would mention one other activity on standards. We funded a project at Illinois to continue some work Martha Williams has been doing in a statistical trend analysis of MARC records. This work will be extremely useful for those who plan data base use and data base design.

We will continue to seek a wide range of opinions on these various projects. For instance, the concept paper on the name authority file service will shortly be published, and we hope to receive a broad range of input, from not only ARL, but from other academic and research libraries. If there are any questions, I will be happy to respond to them.

MR. PINGS (Wayne State University): You have given us a long list of funded projects. Now, some of these I have heard about and some of these are announcements. I am just curious about how these proposals come about. Are there requests for proposals? Are institutions invited to submit the proposals? Do proposal just show up, and then you choose the best? Above all, are the projects themselves, the content of them, available to reveiw?

MR. JONES: I can answer the question by saying "yes," but I will go a little beyond that. Indeed, we did seek proposals in one area when we had a specific project that was vital to our continued operation. That one area was linking the utilities and we received a number of proposals; the Battelle Project was the result. The other areas have been funded in response to proposals that were received without invitation. We have not invited any proposals, for instance, in the area of public access and on-line catalogs, but we have received a number of proposals in that area. In the area of authority control, we did not invite any proposals but we did receive some and it happened to be at a time when we were interested in that particular topic. We do have a BSDP Program Committee whose membership is: the executive officers of the shared cataloging activities, i.e. the utilities (Fred Kilgour, OCLC; Ed Shaw, RLG/RLIN; Rod Swartz, WLN), James Govan of the University of North Carolina, Carol Ishimoto from Harvard, and Henriette Avram from LC. All of the program initiatives are discussed by — and indeed, a good many of them have come out of — this group.

Report of the ARL Task Force on National Library Network Development

MS. DUNLAP: The next item on the agenda is a panel discussion of the report of the ARL Task Force on National Library Network Development.

MR. DOUGHERTY (University of Michigan): Considerable attention has been focused on the work of our task force, so I thought I would begin by giving you some background information about what has happened since we last met. Subsequent to our fall meeting, we sent out a draft of the task force statement to the Membership soliciting suggestions, criticisms, etc. We received approximately ten responses as a result of that process. In February, we convened a meeting of the task force just prior to the winter meeting of the ARL Board, and spent a day in Washington, using the word processor to crank out a number of drafts. Subsequent to the meeting of the task force, I met with the Board, and the Board endorsed the revised statement with the understanding that we would send it out again to the Membership prior to the May meeting.

The task force thought it might be useful to provide an opportunity for two ARL member directors to respond to the principles from their own individual library prospectives. We invited Ken Peterson of Southern Illinois University and David Bishop of the University of Georgia to react, and they accepted. Before proceeding, I would just like to explain the presence of Bill Welsh and Bill Studer on the podium. They are two members of the task force, and as questions are raised, I know they will help me to respond. Hugh Atkinson and Pat Battin, who are also members of the task force, were unable to attend this meeting.

Generally speaking, I do not like to read statements, particularly those that have been passed out to the Membership, but I think it might be useful simply to review with you the six principles that are offered by the task force.

1. Research library collaboration. The bibliographic utilities should organize their services and formulate policies to enable research libraries to fulfill their principal responsibility to the scholarly community, as well as to meet their regional obligations. Improved communication among ARL libraries will enhance cooperation among research institutions and consequently benefit others.

2. Local network participation. The bibliographic utilities should facilitate research library participation in local resource sharing networks.

3. Quality and scope of bibliographic data. The bibliographic utilities should support research library requirements for access to a comprehensive data base comprising detailed bibliographic records based on national standards.

4. Linkage of utilities. The bibliographic utilities should be urged to establish communication linkages that permit the exchange of records to facilitate research libraries' need to access comprehensive nationwide data bases.

5. Local systems development. The bibliographic utilities should be encouraged to expand their efforts to assist individual libraries in the development of local systems, such as circulation, on-line catalogs, etc., that in the long term can be linked to utilities.

6. Description of services and products. The bibliographic utilities should undertake to provide ARL libraries, as well as other libraries, authoritative and comprehensive information regarding available and projected services in an agreed upon manner. The information should include specific comparisons that would permit informed decisions based upon prevailing conditions in local library environments.

These are the six principles to which we asked Ken Peterson and David Bishop to react, and I will now turn the discussion over to them.

MR. PETERSON (Southern Illinois University): Thank you very much, Dick. I agree with your statement of a few minutes ago that you prefer not to read a statement, and I had intended at first not to read a statement. Then as I began to study both the revised statement and the original statement, I decided that I would be on safer ground if I prepared my comments in advance and gave them, and then perhaps commented more informally afterwards. It would be helpful if you have copies of the revised paper before you, as I will be referring to specific statements that are included in it. Also, I want to say that I am not confining my statement just to the six principles, but feeling that there are some important items covered in the introduction that really set the context for the six specific statements, I want to make some comments on those, too. My remarks are about equally divided between the background information and the six statements.

When Dick Dougherty asked me if I would respond at this meeting to the revised statement of the ARL Task Force on National Library Network Development, I immediately recalled the reactions that were expressed at the meeting last fall, many of which I shared, when the task force submitted its original statement. I confess that I regarded that first statement as biased. Time, however, has given me a chance to review this matter with more perspective. Thus, I hope with an open mind, I venture to share some thoughts with you about the revised statement.

It was encouraging to discover, first, that the title of the statement has been changed. The original title, "Requirements of a National Bibliographic Network Design to Serve the Needs of Research Libraries," in addition to being too long, gave the impression that all the needs of research libraries had been determined and the requirements had already been worked out — certainly an unfounded assumption. The revised title, "Network Development and Research Libraries, Some Guiding Principles," is clearly more appropriate. It directs attention toward the subject of our concerns and proceeds to indicate the intent of the statement, which is to set forth some guiding principles. This change in title establishes a clearer and more positive tone for the overall direction of the statement.

The first several paragraphs of the revised statement are essentially unchanged and provide an appropriate context from the standpoint of ARL history and our continuing concern for cooperation among research libraries. On page 2, however, it states that "ARL does represent the nation's research libraries." Is this a fair and accurate assumption, or does it go too far? There are research libraries of considerable significance that do not belong to ARL, such as the Huntington Library in San Marino, the Folger Library in Washington, and the Union Theological Library in New York City, to name but three. Does ARL represent them? Does

ARL, in fact, even represent all its member libraries, considering that there are many differences of opinions and divergencies of programs among us. Would it not be better to say that ARL represents the concerns of many of the nation's research libraries, and that ARL provides "a means" rather than "the mechanism" for addressing problems common to the majority of its members?

Fortunately, the language of the last paragraph on page 2 is modified, and the revised statement wisely acknowledges "uneasiness about current trends" without engendering "fear and anxiety." In this paragraph, however, it appears reasonable to expect some examples to be given for the basis of uneasiness. Is it lack of compatibility among agencies in mounting programs? Or lack of communication among the research libraries themselves? Or increased competition among the bibliographic utilities? If we feel a sense of uneasiness, and it is evident that we do, it seems better to identify some of the reasons for it, rather than to assume that we all have the same understanding.

Major improvements have been made on page 3 of the revised report — this was the page that caused the greatest consternation in our discussions in Washington last October. The first paragraph reiterates many of the ideas of the original statement, but does so with better overall perspective. The last paragraph represents the most substantial improvement by wisely refraining from criticizing any one utility or implying any advantages to be derived from one or another utility. While recognizing the major achievements from the late '60s through the '70s of one utility, it also acknowledges that the emergence of other utilities has broadened the field, and thus libraries are now offered a choice. As an aside, it might be better to delete direct references to the three major utilities by name, lest this imply disregard or nonacceptance of services offered by other agencies or vendors.

Overall improvement is also evident on page 4 of the revised statement. By tone as well as substance, ARL is not delineating one position on behalf of its members regarding the utilities. Instead, while acknowledging the responsibility of each director in making a decision for his or her library, it describes ARL's role more clearly in terms of collecting data and sharing information. The revised statement also appropriately recognizes that management of bibliographic utilities should perceive and respond to the particular needs of research libraries, and these needs are stated quite inclusively as authority control, timely access to quality bibliographic data for all formats of materials, accommodation of non-Roman alphabets, and provision of detailed location information. It is also appropriate and fortunate that the revised statement places in a different framework the matters of clarifying ownership rights and developing mechanisms to compensate contributors for their records, indicating that these are areas yet needing clarification.

Arriving, then, at the specific statements themselves, which have been expanded from five in the original draft to six in the revised draft, it is fortunate to note that they are described as "statements of principle" rather than "official ARL positions" as in the earlier report.

The first statement, "Research library collaboration," raises some concerns for me. Although it appears fairly innocuous, should we infer from this phrase that research libraries will go a step beyond cooperation in the sense that they will be operating in a tighter or more connectional relationship? If so, would there be less flexibility in deciding which course among several a single library might pursue? It also appears that the two sentences in statement one are in reverse order. Assuming that we mean that research libraries are taking the initiative in an action of mutual interest, why then do we proceed to describe what the bibliographic utilities should do by way of organizing their services and formulating policies? Would it not be more appropriate first to describe what research libraries should do? In this regard, taking the initiative, should the statement say more than "improved communication among ARL libraries will enhance cooperation?" To be more meaningful, this statement should make clear at the outset that research libraries will be working cooperatively in planning, setting goals and objectives, and advising the bibliographic utilities about the kinds of services that are needed by the research library community. Then, it could go on to suggest that the utilities organize their services and formulate their policies in response to these stated needs.

Statement 2, entitled "Local network participation," might more appropriately be called "Regional and statewide network participation." The area where gaps appear to exist is between the national and local network programs — that is, within geographic regions and states. For instance, in my area, both the Midwest Region Library Network (MIDLNET) and the Illinois Library Network (ILLINET) have been talking for years about the need for statewide and regional data bases to facilitate resource sharing, but neither organization has been successful, to date, in developing them. This need on the regional and the statewide basis is one the bibliographic utilities could and should help serve.

Statement 3, "Quality and scope of bibliographic data," addresses the need for access to a comprehensive data base, and for detailed bibliographic records. The only concern here is to determine what is meant by national standards. Are we talking about uniform standards, and if so, who should decide them? Are we referring to standards that will be set by the bibliographic utilities, and what happens if the various utilities decide upon different standards? Are we talking about AACR 2, and if so, at what level of bibliographic description among the three that are provided? For purposes of understanding, the term "national standards" definitely should be clarified.

Statements 4, 5 and 6 are all quite clear and appropriate as principles upon which research libraries can agree. The need for appropriate linkages is obvious. The need of individual libraries for assistance from bibliographic utilities in developing local systems is increasingly recognized. The need for authoritative and comprehensive information from the bibliographic utilities about available services and costs is very apparent.

Finally, there is one element missing from both the original and the revised drafts — namely that research libraries cannot accept the imposition of restrictions by a utility upon any library in terms of receiving services on an exclusive basis. Research libraries will not be well served if bibliographic utilities try to maintain monopolistic controls. It is possible, and increasingly probable looking to the future, that some libraries may contract with several utilities for a range of services in order to meet a range of needs. Thus, the task force might consider adding a seventh statement as follows: "The right of a library to participate in, or contract for services from, more than a single utility should be respected provided that the library meets the utility's reasonable criteria for affiliation."

This response became somewhat longer than intended. In summary, however, let me say that the revised statement represents a considerable improvement over the original one. It covers the essential concerns facing research libraries with far more balance and lack of bias. It should provide help both to the research library community and to the bibliographic utilities, as well as to other agencies involved in library network activities, in determining directions for future cooperation and development.

MR. DOUGHERTY: Thank you, Ken. And now, David.

MR. BISHOP (University of Georgia): As I reviewed the network development document, I found my general attitude to be similar to Ken's, and there is no point in repeating things that he discussed.

The principles are more acceptable than in the previous version. Objectionable elements have, by and large, been removed, and it is my intention, at least at this point, to support adoption of this document by ARL. I am afraid, however, that we have here six principles that are general enough to allow people who are, in fact, in disagreement to agree, and problems will arise as we develop more detail and begin to define terms. Terms such as "detailed bibliographic records," "national standards," and "comprehensive information" will be difficult to define, to say nothing of what we actually do to "urge" or "encourage."

A case in point is the fact that the role of the Library of Congress is not explicitly addressed in the statement dealing with quality and scope of bibliographic data. We are generally dependent upon the Library of Congress for our name, series, and subject authorities systems, as well as classification schemes and a great deal of cataloging. When we speak of authority systems, we are speaking of creating, organizing, maintaining, and accessing data that are largely generated by the Library of Congress. Recently, I heard the statistics that the Library of Congress and ARL libraries create approximately the same number of records in the OCLC data base, implying a kind of equality. We need to remember that most of the access points of the ARL cataloging were probably taken exactly or extrapolated from the cataloging of the Library of Congress. My belief is that as long as ARL cataloging is based on a strong central source, we will be able to maintain high standards. But if we reach the point where we are building expensively on each other's cataloging, then overall quality will likely deteriorate. It is not my intent to debate the appropriate role of the Library of Congress, but merely to point out that the generality of the statement of principle allows me to interpret "national standards" as being based upon the systems of the Library of Congress and other national agencies, while someone else could interpret the statement very differently.

An area of greater concern to me is local systems. In the early days of library automation, there was considerable re-inventing of the wheel in local systems, and probably there still is. In terms of grant supported projects, however, there appears to be less re-inventing of the wheel today. I am concerned, though, that the wheel that I am interested in is not being invented at all. This is the wheel I am interested in:

- It is a local system, locally owned and operated or leased without unreasonable strings, and I would interpret a charge per transaction to be an unreasonable string.

- It provides a wide range of functions, including on-line catalogs, processing, circulation, and authority control.
- Its programs are externally developed and maintained.
- It contains hooks for local extensions, if for no other reason than ego satisfaction, so that even though we are using the same system, we can make it more effective for our own use.
- It contains a computer-to-computer connection to a national data base, directly or through a regional node.
- It has the capability of inputting records to a national data base, as well as receiving them.

It is the last two aspects, those dealing with the relationship to a national data base, that are of particular concern to me. The statement of principle dealing with local systems does not address my concerns. I would like a requirement that utilities provide this computer-to-computer link to local library systems directly or through regional systems, using a fair pricing structure based on actual costs. We might find that with this guarantee there are a number of commercial vendors eager to build my wheel for me. And this might be the fastest way for us to achieve some of our goals in on-line catalogs and the like.

I have discussed briefly two areas that are of concern to me — not to speak against the statements of principle, but rather to point out the problem of generality and to urge that when we adopt these principles we begin immediately to further define the issues. Thank you.

MR. DOUGHERTY: Before proceeding further, would either of you task force members like to comment?

MR. WELSH (Library of Congress): Yes, I would like to make one comment. This is a comment I made this morning at breakfast when the task force was discussing this. We spent most of our time trying to generalize the statement so we could at least put it before this august body to get it approved. It must be viewed as a document, or a set of principles, that is going to evolve. I think that it will have to be determined exactly how reference can be made to the role that the Library of Congress will play regarding "national standards." I urge that we accept it as a general document, and build on it as we get more experience.

MR. DOUGHERTY: The Board has discussed the paper, and I think it is fair to say that the members endorsed that statement in a positive sense. But a lot has happened, even since this document went to the Board, and I want to echo what Bill said. This set of principles represents a beginning point, and it is possible that we will have to have an update at each meeting, because the situation is changing so rapidly. And, I think that is the spirit in which the five of us who have worked on this have proceeded.

With that, we will open it to the floor for questions, and I move the endorsement of the statement.

MS. DUNLAP: Is there discussion?

MR. PINGS (Wayne State University): I want to point out that it is important to recognize that it is still the Library of Congress that is providing these utilities with records, and it is more than this library group that uses that service. We need to view our efforts from the broadest possible perspective.

MR. JOHNSON (Emory University): I am impressed with the document, and though I share some of the comments and concerns that have been expressed, but I am in basic support of the document, and I would like to see it approved. I also agree that it is an evolving document which needs continuing work. I think, because of the extended nature of deliberations which I am sure the task force members did not expect to occur, some of the frustrations they have experienced, and a number of developments that have occurred, the document does not address one of the points mentioned in the comments. I am speaking particularly of increasing developments in the role of regional networks, including bibliographic utilities adapted to local systems. Being fresh from a meeting in Atlanta last week in which this idea was very eloquently proposed, I would like to propose an amendment as an additional paragraph that recognizes the regional network's potential role. To assist you in considering the amendment, I have tried to write it to parallel these other statements. I move that the six statements of principle be amended by adding a new statement 5: "Regional network development. The bibliographic utilities should support regional library network development that will support research library requirements and assist individual libraries in the development of local systems." We would need to renumber the current principles 5 and 6 as 6 and 7, respectively.

MS. DUNLAP: Is there a second?

A MEMBER: Second.

MS. DUNLAP: Is there any further discussion?

MR. PETERSON: That is the point that I was trying to make in my comment on statement number 2. I think it would still be possible to leave statement 5, which talks about local system developement, but change statement 2 to be regional and statewide network participation. Statement 2 essentially says what you have said, if "local" is changed to "regional" in two places.

MR. JOHNSON: My number 5 is not intended to replace the original 5; the original 5 continues, but is renumbered as 6; the original 6 is labelled no. 7. I am adding a completely new paragraph. On the other point, number 2. "Local network participation" does have a phrase that I believe should be defined primarily with addressing local resource sharing networks. It is not necessarily the same as a regional or a local network. I do not disagree with your other statements, but I have worded my amendment specifically, and I have separated it from other statements.

MR. GOVAN (University of North Carolina): I was at the same meeting as Ted last week in Atlanta, and it seems to me that the local networks are going to find the regional networks vital in their own goals. It also seems to me that in the ultimate structure, all three levels are going to be involved, and that limiting the statement to local networks really does not fill in the full picture. I am speaking in support of the amendment because I would really like to see those three levels specifically mentioned, and I think that it would strengthen the document.

MS. DUNLAP: Are you ready for the question on the amendment? Those in favor, say "aye". Those opposed, "nay." I think it carried, but let us have a standing vote just to be sure. Those in favor of the amendment, please stand. Those opposed, please stand. The count is 43 - 34; the amendment has passed. Thank you.

Now, back to the main motion. Is there any further discussion?

MR. STUDER (Ohio State University): Now that that amendment has passed, and I have no real quarrel with the substance of the amendment, I am concerned that in Ken Peterson's statement, he made what is, in effect, about six amendment proposals without moving those changes. There certainly are justifiable reasons for concern and for revision, and I believe Ken should look at those proposals as possible amendments.

MR. PETERSON: There is only one point that I made in my remarks that warrants amendment. The rest, I think, are adjustments that might be worked through in the course of continuous revision over time. The suggestion that I made was the addition of a further statement regarding nonexclusive contracts with utilities: "The right of a single library to participate in, or contract for services from, more than a single utility should be respected, provided that library meets the utility's reasonable criteria for affiliation." I move adding this statement as an amendment.

MS. DUNLAP: Is there a second?

A MEMBER: Second.

MS. DUNLAP: Is there discussion? Are you ready for the question? Those in favor of the amendment, please rise. Thank you, please be seated. Those opposed, please rise. The motion carries.

Now, back to the main motion. Are you ready for the question?

MR. SHUBERT (New York State Library): It seems to me that in adopting the additional principle in Ted Johnson's motion we omitted a response to Ken Peterson's suggestion, i.e. that the word "statewide" be included in his statement. And it seems to me logical to amend number 2 by deleting the word "local" to have it read "network participation," and then have the second line read "research library participation in regional, statewide and local resource networks." I realize that is, in a sense, redundant of part of Ted Johnson's amendment; however, his amendment is also restating the point made in number 5. I believe this is important, so I will move, in principle number 2, to delete the word "local," in the first line and in the second line, and after the word "in," insert the words "regional, statewide and". Principle 2 will then read: "Network participation. The bibliographic utilities should facilitate research library participation in regional, statewide and local resource sharing networks."

A MEMBER: Second.

MS. DUNLAP: Is there discussion? Are you ready for the question? Those who favor, please rise. Thank you. Those opposed, please rise. The motion is carried. Are you ready for the question on the main motion? Those in favor, please rise. Those opposed, please rise. The motion is carried.

MR. DOUGHERTY: Ken Peterson raised a number of legitimate points, and we will use that as an example of how this document will have to evolve with changing conditions. I am asking Ken to please forward his comments and suggestions to the task force so they can consider them for the next report. Thank you.

[The version of the paper, as adopted, appears on p. 95.]

Report on the National Interlibrary Loan Code

MR. LUCKER (Massachusetts Institute of Technology): This is a culmination of two years work, and I hope this will be the last you will hear of this for awhile. Last October, I reported to the Membership on the status of the revised National Interlibrary Loan Code, so that much of what I have to say will be a recapitulation. [The National Interlibrary Loan Code appears on p. 99.]

As I wrote in my letter to you which circulated with the code, there are two substantive changes made since the code was last distributed. The first is the removal from the introduction a statement that defined interlibrary loan as a privilege rather than a right. This change was in response to a substantial number of concerns expressed to me, and to other members of the committee, not only by librarians of research libraries, but by librarians in libraries of all sizes and types. I think the rationale for the committee dropping the statement is, briefly, as follows. In a time when we are trying to encourage support of libraries by the government and other agencies for enlarging our capabilities to provide information to all the people, anything that might imply a restrictive nature of library activity seems to be counter-productive. The protection for libraries, research libraries principally, to provide service to their immediate constituencies first is well covered elsewhere in the code, where it essentially reinforces the basic premise that the decision on what to lend is up to the lending library.

The second substantive change is the dropping of a section stating that borrowing libraries should specify the status of the borrower, if required by the lending library. We still believe that this is something a library should do; however, we believe it is covered in the section that requires borrowing libraries to adhere to the policies of lending libraries. If your library would like to know the status of the person for whom the material is being requested, then a question on the borrower's status can become an actual part of your policy. In polling libraries, both in ARL and elsewhere, it turned out that there were very few libraries that found this to be useful information. The Library of Congress, which was represented on the committee, did believe the information was necessary but was quite happy to include this as part of its own policy statement. I will not go back over the whole history of this but let me say that we think this is a reasonable, liberal approach that will make the exchange of information among libraries operating outside of local, regional networks and consortia more effective. It is more reflective of the way we operate. We do not think it will place any additional burden on large libraries or any other libraries. I think the thing to remember is that this is a code that governs the exchange of information outside of existing networks and consortia.

Included in the code is reference to a model code for regional, state, local and other special groups. That model code is now in draft form and will be an appendix to the final version. I think I have spoken enough about this at previous meetings and do not want to go back over it, so I would like to move as ARL representative to the American Library Association Reference and Adult Services Division Interlibrary Loan Committee, that the Association of Research Libraries endorse the National Interlibrary Loan Code, as distributed.

MS. DUNLAP: Thank you Jay. Is there a second?

A MEMBER: Second.

MS. DUNLAP: Thank you. Is there discussion?

MR. ROGERS (Yale University): I intend to vote for the motion, and I do not intend to propose an amendment. But my staff — and they know more about these things than I do — point out that Section 4 (h) is unrealistic. It is either bad or ambiguous since either you use an ALA form and mail it, or, if you are using electronic means of transmission, there are at least two or three different formats, OCLC, RLG, WLN, etc., all of which differ from that form.

MR. LUCKER: The intention was that the standard was whatever system you are using.

I do not mean to put down suggestions. However, we are in an all or nothing situation. We cannot change this document. Either we approve it or we disapprove it, because it will go before the RASD Board in the same form. But there is an ALA Interlibrary Loan Manual which is also out of date, and which will have to be revised after the code. I would like to see your suggestion reflected there.

MS. DUNLAP: Is there further discussion? Are you ready for the question? Those in favor, please rise. Thank you. Please be seated. Those opposed, please rise. The motion carries.

Report on China Trip

MR. ROGERS (Yale University): At the invitation of the International Communication Agency and the Chinese Society for Librarians, Jim Haas and I spent about three weeks conducting workshops and seminars in the People's Republic of China in late March and early April. We worked with librarians, both academic and public, from just about every province of China except Western Tibet. There were between 300 and 325 librarians, about half of whom came to Beijing, and half to Shanghai. The format of our work consisted of lectures, lasting about three hours in the morning, and seminars in the afternoon where we would answer questions for another three or three and one-half hours. Jim, being the weaker of the two, almost gave out. I managed to hold up pretty well.

The Chinese have a wonderful sense of humor. They are thirsty for knowledge, and they have a keen sense of their plight, how far behind they are. They spoke with great candor about the cultural revolution and how much damage it had done to their educational system and their libraries.

We covered, in a formal way, topics such as the history of American libraries, management, networking, staff development, building planning, and collection development. But this by no means represented the extent of interest of the Chinese themselves. They are very interested in library education. They realize how far behind they are. They also realize that fewer than 5 percent of the people working in libraries are what we would call professional. They see that if they are going to update themselves, they have to change their education. They are much concerned about the division between information science and library science as we were almost 25 years ago.

You can leave your hotel room doors unlocked, you can leave your luggage unlocked, and I do not think you will ever lose anything in China. Yet, they are much worried about the security of their collections because, as they admitted, the books walk out of their libraries, just as they do from some of ours.

There was much interest in the handling of Chinese characters in the computer. Jim and I stopped at the National Diet Library, and were able to bring some very interesting data to them. They also had very searching questions on computer applications.

In addition to these formal educational activities, Jim and I were scheduled for a great many visits to libraries everywhere we went. Several times we went to the National Library in Beijing. Among the things we either discussed or saw there was a model of their new building, which was really quite impressive, both as a planning job and as an architectural work. We also conducted our lectures at the University of Beijing, and, of course, spent a good deal of time there. It is in quite an attractive new building. We went to the Academy of Science Library, the Qinghua University Library (which is the MIT of China), the Shanghai Municipal Library, Shanghai Normal University, Shanghai Communications University, and the Technical University in Hangzhou, which, incidentally, is well along in building a very large new library. We also visited a rather sad example of a library building in Hangzhou, where they were keeping the rare books that belong to the provincial library.

Among the interesting sidelights were the size of their collections. We would ask repeatedly how big is this library? or they would volunteer the information, and it always seemed way out of scale to what we would think the library would hold. Jim and I took up the practice of counting the number of items on sample shelves, and because so many of their books are paperbound and very thin, we found from 100 to 200 on a single three foot shelf. We would also take a look at their card catalogs, and I think, in general, if we divided by four, we would come up with figures that would be comparable to the way we count library holdings. Many of their libraries had wooden shelving, a very sad sight to see if you contemplate what would happen if a fire started in these libraries. There is a considerable amount of material other than Chinese publications in their libraries. The largest amount of non-Chinese material was in Russian and then, in order, English, Japanese, German and French. You will have to remember, of course, that Russian was their second language; English is now being taught as a second language.

Finally, we had a surprise invitation to meet with the Vice Premier Wang Renzhong on Easter afternoon. This was considered a great honor, and we spent about 45 minutes with him. He was very relaxed, talked in generalities about China and its problems He also wanted to know about our recommendations at that point.

The thing that we particularly urged was that some of their best younger librarians who had a command of English might have an opportunity either to study or to work in some United States libraries. I do not know exactly where that recommendation is going to lead, but it seemed to be well received by the Vice Premier, and it may be, in due course, that some of the member libraries of ARL will be asked to extend hospitality to these people, though probably not in great numbers. I would urge that, if that opportunity comes along, you consider that we are dealing with the most populous country on earth, and that it is important, I think, that we help to steer them in the right direction.

In that connection, I do not think either Jim or I would say that we completely brought Chinese libraries or librarians into the 1980s. We both said it was one of the most exciting professional experiences that we had ever had, and we just hope that we helped a little bit to get them started in the right direction. There is a lot more work to do, and maybe some of you will be invited to go over and lend a hand.

Report of the Task Force on ARL Membership Criteria

MR. LUCKER: The Chinese are going to let MIT call themselves the Qinghua of the United States.

This report is the result of a year long study of membership criteria for the Association of Research Libraries. Following a meeting of the Board of Directors in May 1979, President Anderson appointed a Task Force on ARL Membership Criteria consisting of Bill Studer, Jim Wyatt and myself as chair, to look at the present criteria being used for admitting new members into the Association. You have all received the report so I will not read it but I would just like to comment on some of the highlights.

The charge of the committee is given on the first page. Let me say that early on in our deliberations, we realized that the use of index criteria would be very important to us. Therefore we asked Richard Talbot, chair of the Task Force on ARL Statistics, to join the committee as a regular member, and he agreed. It was almost essential that we have him. I also want to acknowledge at this point the tremendous assistance we had from Kendon Stubbs at the University of Virginia, also a member of the Task Force on ARL Statistics, and from Carol Mandel, ARL's Associate Executive Director, without whose help, I think, we would not have ever finished the criteria.

I made an interim report on behalf of the committee last October telling you about some of the things we were considering. The principles we enunciated then were that: 1) ARL be primarily an association of academic research libraries, 2) nonacademic research libraries be considered by invitation only, and 3) a standing membership committee be formed to review nonacademic criteria over time. At that point, we had recommended that the Membership Committee on Nonacademic Libraries review possible members every five years. You will notice that the recommendation now is for the Committee on Nonacademic Libraries to review the possible admission of other libraries on a regular basis, or on whatever basis they feel is useful.

The task force members believe that the goal of the Association is to maintain a membership committed to the role of strengthening and extending the capacity of research libraries. With this in mind, we believe it essential that the kinds of libraries participating in this Association be similar in mission, objectives, and capability to fulfill these objectives. Therefore, we believe it is important that new members added to the Association, have, insofar as possible, services and the capacities like those of the existing Membership. There has been concern in the past that the previous criteria used for admitting members to ARL — that is, using a percentage of the median — will inevitably lower the average standard statistics of the Membership. This is a straight mathematical formulation, nothing mystical about it. If libraries are continually added at 50 percent of the median, the median keeps dropping; therefore, the 50 percent keeps dropping, and we have seen that happen. So, we believe that to maintain a level of membership consistent with existing membership, some other kinds of criteria have to be used.

In terms of academic libraries, we believe that the first threshhold, the first criteria, ought to be the "researchness" of the institution that the library supports; and we believe that one of the major measures of research is the degree to which the library supports doctoral programs. Therefore, we have established as the first threshhold that any academic library applying for membership must be supporting doctoral programs in a certain number of fields. You will see in the report of the committee, and in the set of recommendations, that parent institutions of applicant libraries must offer Ph.D.s in at least 18 fields at the time the library applies for membership. The figure 18, in case you are wondering, is the figure that was being used prior to the moratorium on new membership, and represents 40 percent of the median number of the Ph.D. fields supported by current members. In presenting the report to the Board yesterday — incidentally, the Board has endorsed it — the suggestion was made, and agreed upon by the Board, that this criteria be changed to 50 percent of the median of Ph.D. fields being offered by parent institutions of existing members. The reason for this is two-fold. The first is to raise the threshhold somewhat. The second is that the criteria for determining the number of Ph.D. fields is established by the National Center for Educational Statistics, and it comes out in something called the HEGIS survey. The number of fields described in the survey from which an institution can count the number of Ph.D. fields it offers is changing constantly, and it seems to be enlarging. We believe that the median in ARL will go up. Therefore, the Board has proposed, and the committee has agreed with the proposal, that the threshhold be 50 percent of the median at the time the application is made. Based on the 1978-79 statistics, that would be 23 Ph.D. fields rather than 18. That number will probably increase, not because institutions are adding more fields, but because there are more categories, and institutions are finding more fields in which they are giving degrees. The figure of 23 will be a pretty high threshhold, and therefore, our goal of keeping membership within the bounds of the current level of libraries will be maintained.

The major means by which perspective members will be evaluated is something called factor analysis. Through sophisticated computer programs developed by Richard Talbot and installed at the University of Virginia by Kendon Stubbs, we are able, each year, to analyze the statistics of ARL libraries, not only in absolute terms of where they stand relative to each other, but in relative terms, that is, each library relative to the entire population. In looking at the various categories of statistics we collect, we find that there are ten categories in which the ARL academic libraries look most alike. There is least variance in these ten categories, which are listed in page 3 of the report. Once we define these ten categories, the variation among these categories will be examined. Simply stated, the less variance, i.e., the more the ARL libraries look alike, the more important the criteria are in determining membership. On page 4, you will see the same ten criteria with five-place decimals afterwards. The differences between these numbers indicate the relative weights of the criteria in the index formula. The number of microforms is the category with the lowest value (i.e., microform holdings have the widest variance), as compared to the total salaries or to the size of the professional staff, criteria with the least variance. Categories are weighted in accordance with the numbers shown. Now, therefore, we have a formula to determine what the "sameness" is like. The question is, how do you apply this to libraries who are not in ARL?

Before we get to that, there is a question of what the second threshhold is. This is a very critical issue, and I suspect we could debate it for a long time. I will just have to say that the Committee spent a lot of time looking at what the new criteria would mean in terms of additional members and what it implies in terms of a curve, and we feel that a threshhold of not more than one standard deviation, that is, not more than -1.00, would be a reasonable threshhold for admission to ARL. So, therefore, for a library to be admitted to ARL, assuming it meets the Ph. D criteria of 23 fields, its combined score in these ten categories for the previous four years, must be -.1, or greater (toward the plus side). This would mean that the library would be like at least 84 percent of the membership in a normal distribution.

One of the concerns in the past has been about median degradation: as you use the median, the median gets smaller. It can be demonstrated mathematically that while, inevitably, even use of index scores will affect where the distribution runs, degradation will take place much more slowly. Thus you will not find, under this system, the degradation of the median, or the degradation of the average score, coming into play.

Another issue is maintenance of membership. The Bylaws state that members of ARL must maintain the level of their operations consistent with the goals and objectives of ARL. Most of you know that in the past, we have had deficiency criteria, and we have had a rule on the books that says that if a library falls below these criteria for four consecutive years, it should not remain in the Association. Those criteria are based on 40 percent of the median. At the last time we counted, there were eight ARL libraries that were deficient in at least one category. Several libraries were deficient in numbers of Ph.D. fields. We believe that it is unreasonable, illogical, and un-a lot of other things, to suggest that members of ARL be asked to leave the organization because their parent institutions do not give Ph.Ds. in enough fields, because it would have no effect on the parent institution, I am sure. Therefore, for maintenance of membership, we are not including the number of Ph.D. fields as a criteria. We are, however, recommending that for maintenance of membership, a library must maintain an index score above -1.75 standard deviation. This will mean that in a normal distribution, the library would fall within 96 percent of the population. This does not mean that there ever has to be any library that falls outside of -1.75, because if you look at the table that follows page 5 of the report, you will see that the spread on the plus side is much greater than on the minus side; while there is a +3.05, there is no -3.05. There does not have to be a -1.76. Therefore, it is not necessary under this proposal that any library not maintain membership. It is also true that as of 1978-79, there are two libraries whose scores are below -1.75. The difference, however, between this and the previous criteria, is that it is not necessary for a library to address itself to any particular criteria to raise its score to -1.75. In fact, a library could, by adding resources in certain areas, have a greater impact than it might by adding in other areas because of the weights used in calculating scores.

There is one other aspect of this, and I have spoken to some of my friends in Canada, so they will know that this is coming. In order for the statistics to be realistic, we believe that it is necessary for all of the data to be in more or less the same language. Therefore, we have proposed that those statistics calculated in dollars should reflect the variation in values between United States and Canada currency. I will not go into great detail on how this is done, but we propose to do it more or less by an averaging method, that is, the average difference during the year is put into the computer, and Canadian dollars will be discounted by the difference. As of the last time we looked, it was something like 15 percent. If the time ever comes, for example, as it was not too long ago, when the Canadian dollar was 1.05 times the American dollar, then the Canadian dollar figures would go up accordingly. The index for 1978-79 actually reflects the use of dollar figures in Canadian dollars.

Now, for the nonacademic libraries. It is much more difficult to identify nonacademic libraries that could be invited to membership in the Association, since much of the data we collected for academic libraries are not pertinent. Therefore, we have proposed a set of criteria for nonacademic libraries, which appears on page 6, in two categories: 1) the qualitative criteria, and those of you whose memories are not too short will notice that the qualitative criteria closely resemble the criteria in the Title II-C proposal documentation; and 2) the quantitative criteria, which comes from data used by the Independent Research Libraries Association. I was asked the question of what "reader-day" means. Since there is generally no circulation in these nonacademic research libraries, one way of counting the use of the collection, is to count the number of times a person comes in to use the library, and since most of these libraries keep very good statistics, a "reader-day" is what is used instead of circulation figures.

I think that is about as much as I want to provide by the way of introduction. I would, therefore, on behalf of the Task Force on Membership Criteria, move that the Association of Research Libraries adopt the criteria as they appear in the report of May 1980, with the change noted in number of Ph.D fields. This does not require a second, since the motion comes from the committee chair.

MS. DUNLAP. Is there discussion?

MR. CHAPIN (Michigan State University): In the variables used in the criteria, we have number of volumes and number of journals received, plus the expenditure for library materials. It seems we are really counting just two things, and one thing twice: your expenditures and what you can afford to add. We all do a little bit of lying on our counts of volumes added and material received. I would recommend that we drop the number of volumes added and drop the number of current serials received, and add to the criteria the expenditure for current serials. That is an accurate figure that we do have.

MR. LUCKER: I think that some of the things you suggested are things where the "sameness" is not there. I do not agree that the number of items added and the expenditures necessarily reflect the same thing. We must look at gifts, government documents, etc. Various kinds of libraries for example, that collect heavily in medicine and law might show a difference — say, price per volume — than those buying in humanities these days. But I think we have taken the ten things that have proven to be most meaningful. You could take nine other things, but they do not show the same correlation as these ten things do.

MR. CHAPIN: How about the figure on serial expenditures?

MR. LUCKER: It is included in the expenditures of the library materials. I have not looked at the correlation between expenditures for serials and total expenditures for materials.

MR. CHAPIN: I am not one to goof up a very complicated proposal.

MR. LUCKER: Richard, thank you. All of the variables that we have — all 27 — were looked at in the construction of the index, and these ten were selected by the computer program package. They give us the greatest degree of commonality. We could go back and substitute what Mr. Chapin suggests, but it would lower the degree of commonality — the degree of sameness among the variables.

MR. ROUSE (Oklahoma State University): I am speaking as one of the two institutions whose membership is now in jeopardy, and at least I hope that what I say will have a ring of sincerity. I would not think at all of wanting to lower ARL standards or criteria for membership, but I do want to make some points. One is that dollars are deceptive in comparing institutions. I think neither the old formula nor the new is really a measure of how a library is serving its institution or assisting research at that institution. For one thing, a centralized library will not need the same size staff to carry out its duties as a multi-departmental library system will. Therefore, the salary total will be less for a centralized library doing just as good a job as a departmentalized system. This is also true in regard to the amount of money for volumes. A centralized library will spend less money for duplicates. Regarding bound volumes, the total amount of money spent in binding volumes varies across the country. An institution where I formerly worked is paying 60 percent more than my institution, because binding there costs that much, so I do not think you get a true picture there.

But I simply want to get to the most important thing, and speak against the summarized index score, the factor analysis. This gives us a pass/fail in one lump sum, and it does nothing to help an institution at home. For example, this means that an institution can beef up something in the budget to make up for a short-coming elsewhere. I do not think that should be the purpose of membership in ARL. I think ARL can help us. For example, book money is not difficult to come by. The Legislature can give you special appropriations or private funds and take care of you for the year. But suppose you are short in salary, and you need salary funding. That is not as easy to come by. We can use ARL as an argument to help us to improve in that specific category. So I am asking that we not go into this single index figure. If you must use this analysis, use it separately, and say we must meet each one of these; otherwise, it is of no help to us back home. I have an amendment ready, if you want to accept it.

MR. LUCKER: Let me answer the question. We would still provide libraries with detailed statistics on each of the categories; that is why we combined the numbers for the purpose of comparison. Each library would have available to it an index score for each of the categories; so, if you had to know what the components were for each library for each of the ten categories, that information is available. We do not propose, as I said before, to play games with this thing. The libraries that fall below the present recommended threshhold are both libraries that fell below in several categories of previous threshholds. There is no different population there. Both those libraries were deficient for several years in several categories.

MR. ROUSE: May I propose my amendment. Somewhere in this statement there should be the phrase that "admittance of an institution or retention of a member depends upon that institution meeting each criterion index figure, separately considered."

MS. DUNLAP: Is there a second? Is there further discussion?

There was no second and discussion on the main motion continued.

MR. PETERSON (Southern Illinois University): I hesitate to speak against the committee's recommendation and the Board's recommendation on the variation in the Ph.D. criterion, but I do not think this is an auspicious change at this time, for two reasons. I think there are many institutions that are facing retrenchment in their Ph.D. programs. This is especially true in states that are moving toward more coordination in graduate work within the state, a policy increasingly being regulated by Boards of Higher Education. We are finding this to be the case in our state. I think that there will be some institutions where Ph.Ds. will be given in a fewer number of fields. Therefore, I think increasing to 50 percent at this particular time is an unrealistic move.

Second, there really is not complete uniformity on how the Ph.D. programs are being counted. We are finding at our institution that, with pressure from the Board of Higher Education in the State, there is an increasing consolidation of programs along interdisciplinary lines. In the process of consolidating programs, the numbers of Ph.D. fields will probably decrease because of cooperative arrangements being worked out among the institutions that come under the aegis of a particular Board of Higher Education.

I think that this change at this time really does not improve the overall criteria. I think it is unrealistic as we move into the '80s, and I think it is subject to differences of interpretation among the institutions, particularly the state institutions throughout the country. I would have to vote against it.

MR. LUCKER: If I hear you correctly, I think you misunderstood what I said. We are not proposing that the number of Ph.D. fields be used as a criterion for existing members. We proposed this change deliberately because we are interpreting the mood of the Membership to try not to enlarge ARL extensively beyond the present number of members. This is deliberately done to limit the number of new additional members to ARL. It has nothing to do with the existing membership. No existing member will lose its membership in ARL because of the number of Ph.D. fields supported.

MR. PETERSON: I share the concern about how large ARL should grow, but I think in this particular area where we are really measuring something beyond the library — we are measuring the institution, and the institution's compliance with regulations by state governing boards — that this is an unrealistic way to hold ARL membership from growing too large. I would rather see it based on evaluation of the libraries and the libraries' contributions to the programs of those institutions, rather than the extent to which the institution has to comply with modifications of its Ph.D. programs to satisfy state governing boards.

MR. BOSSEAU (University of Hawaii): I have no qualms with the intent of the use of regression analysis in that type of index. But, I expressed the concern, I think, to the committee at one point, that these tables should be separate from the annual report and statistics of ARL. The reason is that the index is not a concrete thing, and I found it very difficult to explain it to administrators. One administrator, formerly at the University of Massachusetts, is our Vice-Chancellor equivalent right now. He said regression analyses and indexes are worth zero to him. He saw them at work in another institution. I do not know what he is referring to, but I think it is inevitable, as a by-product of this process, that the index will soon start showing up in the reports and will be a confusion factor in trying to use the ARL statistical report in making budget arguments with our administration.

MR. CARRINGTON (Rice University): I am with Roscoe Rouse at the other end of the spectrum. I do not think you have really answered a lot of the questions which Roscoe posed. I like the idea of factor analysis, but I do not like the statistics that you propose to use. You are asking us to presuppose, to a great degree, homogeneity in curricula, homogeneity in faculty/student populations, as well as homogeneity with regard to branch libraries, departmental libraries, branch campus libraries. Could you address these questions, and justify these statistics?

MR. TALBOT (University of Massachusetts): It is true that we are making an assumption that the libraries are measured by the statistics that are collected. But having made that assumption, we are looking at all of the variables, and we are aggregating. What factor analysis does is to take the variables and find the common factor that underlines those variables, which explains the tendency these variables have to interact so that what we are dealing with is the aggregate of these variables in that index form.

MR. CARRINGTON: You do not see any inequities there?

MR. TALBOT: The process is arbitrary and what it proposes to do is to balance off some of the differences that may exist on one variable versus another variable, so that in a sense it is a good deal more equitable than the present system.

MR. CARRINGTON: Well, it is not more equitable, but it is more nearly equitable than you had before. But is it equitable? I have difficulty with this, because some of us have no professional schools that require a heavy library commitment. Some of us have very small student/faculty populations, which affects the question not only of academic disciplines, but also the question of duplicate copies. I would like to have specifics of, exactly, where I am deficient. Am I deficient in my commitment to chemistry? Am I deficient in my commitment to chemical engineering? And none of this answers that.

MR. TALBOT: Well, none of the statistics will answer the question of whether or not you are deficient in chemical engineering. The only thing you can do is look at the rank order on the statistics and see where you rank in relation to each of the other institutions. You can take the rank order tables for each of these ten variables and determine from those where you are deficient, or where you differ from the other institutions.

MR. CARRINGTON: Different, but not necessarily deficient. Am I correct?

MR. TALBOT: I am not addressing myself to deficiency. I am only addressing myself to what the statistics tell us about the commonality of models. Whether it is deficient or not, is a different kind of decision, and I do not want to get into that.

MR. CARRINGTON: Is there any way that we can change the statistics to find out the degree of support in the areas where each of our institutions offer doctoral programs, and use this approach?

MR. TALBOT: We have looked at that, but it turns out that there is not a high degree of correlation between doctoral programs and other library factors.

MR. CARRINGTON: I would like to offer a substitute motion. I believe this is correct procedure under Robert's Rules. The substitute motion is that we accept the proposal with regard to admitting new institutions, with regard to the admission of nonacademic libraries, and that the Task Force on ARL Membership, as well as the Task Force on ARL Statistics, be given a broader charge to see if it is possible to bring an institutional profile into play with these statistics before this proposal be accepted for the existing membership.

MS. DUNLAP: Is there a second? Is there discussion? Are you ready for the question on the amendment? Those in favor, please rise. Those opposed, please rise. The motion fails. Is there further discussion on the main motion?

MR. MCDONALD (University of Connecticut): I rose earlier to ask whether the membership committee that has been constituted, or will be by this report if it is passed, intends to conduct an ongoing study as to the effect of these ten criteria. I ask this because I have seen any number of sets of criteria come and go through the years, and they have operated well according to how various members feel. I share Ken Peterson's concern about the change in the Ph.D. fields. I think that is a very treacherous criterion. I see the same tendencies in our state that he sees in his. I have a lot of sympathy with the comments of Roscoe and Sam. We might not want to adopt any change in the report as it has been delivered right here and now, but we want to examine its effect as we have in the past, to see what happens over the course of the coming year.

MR. LUCKER: As the report is made, John, there is no provision for an ongoing overall committee on membership. This task force will, if this report is approved, go out of business as of this meeting. However, I would agree that it is essential to monitor, as we have in the past, the effect of any set of criteria on what happens to the Association. And I would say, if no one disagrees, that I would bring to the Board at the next meeting, the recommendation that we establish some group to have oversight over the effect of these criteria. It might be the Task Force on Statistics, or it might be a separate committee. But I think your point is well taken, and since I sit on the Board, I would consider it my responsibility to see that we establish some mechanism for reviewing, as we have in the past, the effect of these criteria, if they are approved.

MR. ROGERS (Yale University): As one who has lived through countless membership committee reports, and who did not get too far beyond simple arithmetic, I would like to say that I think this is really one of the best reports that I have ever heard. I think it is outstanding, and I urge an affirmative vote on the main motion.

MR. NEWMAN (Tulane University): I, too, would like to share the discomfort with 18 or 23 doctoral fields. On one hand, even though we are attempting to constrain the total number of ARL members, it seems to be an extra amount of dirt into the wheels for an institution that does not meet all of the requirements, as we are measuring them, as far as the library operation. Also, if we accept the number of doctoral fields as a criterion for new members, I do not see why those institutions that may have fallen below certain levels should not also be considered, because they will reduce the total number of members.

My second comment is on the categories that are being used for the factor analysis. The factor analysis gives the measure of variance, and it gives a commonality, but there are other problems. We have taken care of the deflation of the dollar in terms of Canada even though, if you use it, it is not the Central Bank figure, you have to add 2 percent to that in order to get to a more normal one. However, two major components in the ten factors, the total salaries alone and expenditures, do not take care of the regional disparities that one has to face up to in that area.

While I consider the factor analysis an extremely acceptable approach, the disturbing part is that it is based on statistics which are rather suspect, in terms of the different measures we have used. This does not help us achieve that real commonality of institutions represented here. I would hope that if we do proceed on this approach, there is a mechanism to re-examine the ten groups before there is a full application against the current membership.

One other bothersome thing occurs to me if we proceed with the 4 percent off the bottom. Assuming the fiscal stringencies and other stringencies that will be upon us, you can project, beginning with the fourth year, a decrease of the total membership at a certain rate, because there may be more substantial drops than the factor analysis will permit.

MR. LUCKER: I cannot remember what your first question is, so let me take the last one first. That is not mathematically accurate. There is no guarantee that there will be a 4 percent reduction, because if we all go down, then we all go down together. I can assure you that no one must drop off the bottom. Let me say this. One thing I did not mention is that the proposal says that we would not start the clock, as it were, until the 1979-80 statistics. We will not know what the index scores are for 1979-80 until October. It is conceivable that the numbers will be different, because if some of the libraries above the bottom change their statistics, the variance may be less.

As far as the Ph.D. fields and nonmembers, let me say that we have looked at some data on the group of academic libraries not in ARL that might conceivably be members of ARL. It is not going to be the Ph.D. fields that are going to keep them out, i.e., the number of institutions giving more than 23 Ph.D. fields is not zero. It is more likely that they will not have an index score that is -1.00 or greater. (In the process of examining these criteria, we have done some rather crude analysis.) Let me reiterate, it is not the number of Ph.D. fields that makes the difference. I think, therefore, that this concern about failure to enlarge the membership on that basis is not necessarily accurate. I still maintain that we, the committee, took the sentiments of this organization as a desire to limit membership, and to have as much homogeniety in the broad sense, as we could, and that is why I think we would want to stick with that criterion.

MR. FRANTZ (University of Virginia): I think our Membership Committee, working with our Statistics Committee, has given us a far better measure for membership and to preserve our homogeniety and to keep us at a reasonable size than we have had. They have done it with great care, and I would hope that we would support this effort. I urge that we approve the motion to adopt.

MS. DUNLAP: Are you ready for the question? Those in favor please rise. Thank you, please be seated. Those opposed, please rise. Thank you. The motion passes.

[The ARL Membership Criteria, as adopted, appear on p. 103.]

Report of the Office of Management Studies

MR. WEBSTER (Office of Management Studies): Two documents were sent recently to each ARL director to report on our current activities. The Annual Report for 1979 lists the issues we are currently addressing and also describes the range of management services resources available to you. I hope you have an opportunity to look closely at that document. Also, please route it to your staff, because the programs described there are fundamentally designed to help you and your organization. [A summary of the Office of Management Studies Annual Report appears on p. 112.]

The second item I sent to you was a report on the results of the assessment survey completed by ARL directors in the latter part of 1979. In this survey, the Office and its Advisory Committee gave all members the opportunity to comment on the importance and the usefulness of OMS programs. A primary reason for this assessment was our interest in finding out what changes are needed to make Office plans and programs more responsive to your needs. One result of that survey is the preparation of design priorities for 1980 that reflect specifically two of the interests you expressed in the survey: the design of a preservation study procedure and of a public services improvement program.

As I reported to you at the October meeting, the National Endowment for the Humanities has awarded the Office a grant to facilitate the design and testing of a self-study procedure that will help individual research libraries identify and address the range of preservation problems that they face. Since I made that announcement, we have been able to locate and recruit to the Office an outstanding preservation specialist and administrator. Pamela Darling, presently head of the preservation unit at Columbia, will join the OMS on July 1, and will work with us for a period of 18 months on the design and testing of this procedure. In addition, we intend to put together, as part of that program, a technical manual for use by preservation officers in research libraries, which will also, we hope, cover some of the training needs of research libraries in this area. Ms. Darling will be with us tomorrow morning to report on some of the preservation concerns facing research library directors today.

Several of you have asked about the choice of pilot test sites for the preservation self-study procedure. We expect to have three pilot tests, and the decision on which institutions will participate will be, in part, a reflection of those libraries that have expressed interest in participating. This can be done through a letter to me at the office. Also, an advisory committee that will establish some of the criteria and will help us determine the sites has been appointed. Its members include three preservation specialists: Sally Buchanan from Stanford, Gay Walker from Yale, and Paul Banks from the Newberry Library; and representatives from the ARL Committee on the Preservation of Research Library Materials: Jo Harrar and David Laird. We expect to have a representative from the Library of Congress work with us as well.

We have also made some progress on the second priority, the design of a self-study in the area of public services. In the last several months we have worked with the University of California at Berkeley in the design of a training program for public services staff, and we are also in the midst of putting together a survey of ARL member library practices in the area of public services. We expect to distribute that survey to you sometime this summer.

As for continuing OMS programs, in the Academic Library Program, the major trend is the interest of ARL libraries in using modules or components of the various self-study procedures. For example, several libraries have been working with us on organization studies that take about three months, resulting in reports that lead to some restructuring or redistribution of resources internally. There is also very high interest in the Collection Analysis Program, with seven libraries currently engaged in the program.

The Consultant Training Program has met all of our expectations in the first year. Following the initial training, 20 outstanding librarians have worked with us on various studies and training projects; we have 18 different self-studies in progress. In addition, we are starting the selection process for the second group of consultant-trainees, and have secured about a dozen nominations from ARL directors. The deadline for application for this next class is July 31.

Maureen Schechter will be joining the staff on August 4 as Training Program Specialist, filling the position recently opened when Deanna Marcum left to join a private consulting firm. Maureen is currently personnel librarian at the University of Maryland.

Another change in ARL staff involves Grady Morein, our Program Coordinator for the Planning Program for Small Academic Libraries, presently supported by a grant from the Lilly Endowment. Grady will leave the Office in July to become library director at the University of Evansville in Indiana.

Finally, I want to highlight the new Collaborative Research Publication Program the Office has started. We announced this in the ARL Newsletter as an effort to give you more intensive issue analysis than is currently provided in the SPEC publication series. In this project, we are taking advantage of talent in academic libraries who are interested in working with OMS staff in studying important issues. We are going to help select the issues and help structure the study, and we expect useful publications to be produced as a result. Two projects have been started, one on the topic of internal communication methods for academic libraries and one on compensation structures and policies in research libraries.

In closing, I want to emphasize our basic approach to dealing with the issues facing research libraries. The Office concentrates on institutional development. We are obviously concerned with collective, inter-institutional issues, as well as individual and staff concerns. Fundamentally, our efforts are directed toward helping you identify and deal more successfully with the range of problems that face your libraries.

Report on the Eighteenth-Century Short Title Catalogue Project

MR. FRANTZ (University of Virginia): As many of you probably know, there is a joint effort of British and North American librarians to produce an Eighteenth-century Short Title Catalogue (ESTC). The ESTC will be terribly important to scholars because of the spread of printing during the 18th century; through it one can really begin to trace the social, economic, and scientific life of the world. As just an example, work on the ESTC so far has uncovered an outstanding collection of Dublin imprints at North Texas State. The catalog will probably include 800,000 items in almost forty volumes, and thus can be done only by using a computer. The work of locating all the British imprints in North America is being directed by Henry Snyder, while conversion of records for all 18th-century American imprints into machine-readable form is being carried out at the American Antiquarian Society, under the direction of Marcus McCorison.

It is my belief that ARL should certainly be identified with this project. The source materials of our research libraries place us in the mainstream of the research effort. The leadership, as it quite properly should be, is with the British Library, under the direction of Robin Alston. They have done most of the work, including modifications of AACR 2 that will make it possible for the title page to appear just as it appears in the book. (This is not possible with AACR 2 as it will be implemented in the U.S.) This is an exciting project and one that ARL should certainly endorse. Thus, I recommended to the Board that ARL go on record as endorsing this project, and where it can, to support grant applications for the American phase that will help to continue it.

[Note: On May 14, 1980, the ARL Board endorsed Mr. Frantz's recommendations.]

Report of the President

MS. DUNLAP: After the October meeting, the Search Committee continued to try to identify an individual to fill the position of Executive Director of ARL; however, we were not successful. The Committee felt quite strongly that a new committee, with new ideas and a fresh approach, might succeed where we had not, so a new committee was appointed. Eldred Smith is the chair, and the other members are Charles Churchwell, Margot McBurney, and Margaret Otto. Please forward any suggestions that you have to Eldred. Fortunately, we have been able to persuade Ralph McCoy to stay on as Interim Executive Director through 1980. I am sure that all of you agree that he had done an absolutely super job.

The number of librarians on the National Commission on Libraries and Information Science (NCLIS) is very small, and the ARL Board of Directors has decided that ARL should take a more aggressive approach towards having active librarians appointed to the Commission. We will make recommendations for candidates for appointment to NCLIS, and include with these recommendations a strong statement on the importance of having librarians represented on the Commission. We will ask ALA and the Association of American Universities (AAU) to write also, and the Board encourages all ARL directors to make recommendations for appointments to NCLIS. The letters should go to President Carter, with copies to Senator Pell and Vice President Mondale, because the Vice President's office appears to have significant influence in the appointments. Also, send a copy to Peggy Rainwater, who is the Appointments Secretary at the White House. I think that if one hundred letters came from the major libraries in the country, this would have considerable influence on the decision to appoint librarians to the NCLIS.

As many of you know, ARL, along with the American Council of Learned Societies (ACLS) and the Social Science Research Council (SSRC), has sponsored a Joint Advisory Committee on East Asian Libraries. It has been requested that the Secretariat, which has been housed at ACLS, be assumed by ARL, with ACLS and SSRC continuing to co-sponsor the program. Since all of the major East Asian collections are in ARL libraries, it is quite fitting that the Secretariat be located at ARL. If such a change were approved, it would be contingent upon mutually satisfactory arrangements and continued external funding. We also hope, if the Secretariat is brought to ARL, to draw LC into the committee.

The National Science Foundation has discontinued funding for American National Standards Institute Committee Z39, and Z39 has requested assistance from its member organizations. The Board voted to contribute $500.00 to Z39 on a one-time basis, and will consider further contributions to Z39 at a later date.

The Association of American Universities (AAU) has embarked on a new project to identify the needs, problems, and prospects for services in research universities. The new project will include a section on the needs and the potential future development of the libraries of research universities. Some of you may remember the report and the recommendations made in Research Universities and the National Interest in 1978. Although some progress has been made, there still remains a great deal to be done. Since that report was published, a number of new problems have arisen which need to be addressed. Barbara Turlington of AAU will be writing a chapter on libraries, with the assistance of Jim Haas and considerable consultation in the field. She has suggested that an advisory committee with ARL members would be very helpful to her. The Board approved the appointment of a five member committee, with appropriate representation from the Board, to work with Barbara. The committee will do most of its work during the summer.

Discussion on AACR 2

MS. DUNLAP: The Board spent considerable time in its meeting yesterday discussing the implications of the pending implementation of AACR 2: the implications for library budgets, for library staffs, and certainly for library users. There was sufficient concern expressed to suggest that it would be appropriate to give all of you a chance to discuss the issue. I have asked Susan Martin to outline some of the concerns that have been expressed to her and to her staff through the Alternative Catalog Newsletter. I will ask Bill Welsh also to make some comments to indicate if and how else he might respond to these concerns. After that, we will open the discussion to all of you.

MS. MARTIN (John Hopkins University): As Connie said, I will give my remarks, then Bill will speak. So that you will understand that I am not intending to speak in a vacuum, I will probably be prepared to present a motion to the Association at the close of the discussion, or during the discussion. I apologize for raising the topic again, but I am becoming increasingly concerned about AACR 2. We have moved, over the past couple of years, from the kind of "motherhood and apple pie" generalizations about AACR 2 and the intent of the cataloging code, to the specifics of code implementation. It is an extremely complex subject, and for this reason I have found that, in talking to people, it is difficult to come to grips with what exactly the problems are. Most people have not had the opportunity to really study the details of it. But I, and, I believe, many of you in this room with whom I have talked, feel that we cannot ignore possible detrimental effects of AACR 2, and that we must discuss it — at least one more time.

Why my re-examination at this point? As Connie mentioned, the Alternative Catalog Newsletter is published from the Johns Hopkins University Library. The intention is to publish a special issue about AACR 2, which will appear either late this month or early next month. To solicit materials for this special issue, letters were sent out to all subscribers of the Newsletter asking for comments, reports, any kind of material that they had on AACR 2, both pro and con. The editor received a large number of documents from all kinds of librarians — administrators, technical services people, catalogers, public services people — and from Great Britain, as well.

I would estimate that 75 percent of the responses, at least, were against the implementation of AACR 2, and about 25 percent were somewhat less for implementation of AACR 2. Let me qualify that statement. Almost to a person, the people who are for implementation of AACR 2 feel that they really would not have liked to see AACR 2 in the first place, but as long as we have gone this far, they feel that they can handle it in their own institutions. They either have the the computer capability to deal with it, or the staff to deal with it, or whatever. In the case of the people who responded negatively towards AACR 2, this was not always a flat-out "we should not implement AACR 2." Many people felt that, for instance, the descriptive cataloging section is not a problem at all, and perhaps choice of entry is not a problem; most people found problems with the form of entry provisions of AACR 2.

Looking at my library, I found that the budget implications of AACR 2 implementation are severe. I have budgeted an additional position for next year which I would anticipate to continue within the budget for at least three or four years. One position does not sound like very much, but I do not have a very large library, and it's actually increasing my original cataloging staff by one-third, from three original catalogers to four. In addition to the increase in cataloging staff, we anticipate additional work for any one using the catalog, either from technical services or public services. Of course, these people who are now familiar with all the old rules — ALA and AACR 1 — will also have to become familiar with AACR 2, and assist users in wending their way around the catalog.

We are not planning at this time to close the catalog. That brings me to my second point, what I see as a deterioration of service. This is of great concern to me. It is a topic that I have not yet brought to the University administration, but I believe I will have to at some point to explain to both the University administration and my faculty advisory committee.

After identifying two major segments of concern, cost and implications for service, I did a little bit of reading. I actually picked up AACR 2 and started reading the rules. Then I got hold of the Cataloging Service Bulletin which is published by the Library of Congress on a quarterly basis. In the 1979 Fall issue, LC began publishing the new forms of entry that would be applied with AACR 2. There have been three issues of the Bulletin since then, and as we see the interpretation of the code by LC, we are increasingly worried about the way in which we will apply the code in a local situation. We are so dependent now, as someone said earlier, on the Library of Congress and its cataloging, that it is an umbilical cord. We are very used to accepting LC copy without change. However, in the most recent issue of the Cataloging Service Bulletin, there is a statement that says that the provisions described in the Cataloging Service Bulletin should be regarded as those for the Library of Congress, and judgment should be used in applying AACR 2 in local situations, because the interpretations used by the Library of Congress may not be applicable to local situations. This is quite true.

Then we come to a corollary of the cost implications. We all complain about the productivity of catalogers. I am concerned that, with what I see as additional complexity and more work, more judgment — I think that catalogers will just feel that they will have to exercise more judgment in doing original cataloging — the cataloging process will become even slower. AACR 2 seems to be a difficult set of rules to apply. Of course, as time goes on, it will become easier. But at the moment, I am not convinced that we can affort it. There is no question that there are many helpful features of AACR 2; T. S. Eliot is a very good case in point (i.e. enter under Eliot, T. S., rather than Eliot, Thomas Stearns). However, most of those who are not starting new catalogs still have to work with the existing file, and that means revising headings and shifting files or creating split files within the catalog. Again, this is something that I consider a degradation of public service. Obviously, I recongize that the Library of Congress has placed a tremendous amount of effort in implementation of AACR 2, as have many people and institutions. However, an increasing recognition of the negative impact on our libraries and on our users cannot be ignored.

I have identified alternatives which, perhaps, could be examined. They range from the sublime to the ridiculous, and there are probably other alternatives that can be added. One alternative is the status quo: leave us where we are right now. A second alternative would be to de-superimpose, i.e., accept AACR 1 fully. A third alternative would be partial implementation AACR 2, i.e., accepting the sections on descriptive cataloging and choice of entry, leaving form of entry until the profession feels that computer capabilities are more sophisticated and more able to handle changes in form of entry. At that time, we will have more information.

(If you read the article in the April 15 Library Journal by Fred Ayres from Great Britain, that is the view he was espousing.) A fourth alternative would be to accept the descriptive and choice of entry sections, but not to implement form of entry at all. A fifth alternative would be to ask the Library of Congress to do what it is doing now, i.e., to continue issuing MARC tapes with both AACR 1 and AACR 2 forms of headings. This has been going on about a year and a half, I believe. We now have MARC records with an AACR 1 heading in the main entry, and, if there is an alternative AACR 2 heading, it is elsewhere in the record, and it can be used. Obviously, there would be costs to the Library Congress to input these headings, but then the user could use either form.

Let me close by reviewing a number of the question that always come up; I will just run through my quick answers. Isn't it too late? I have to answer that question with a question. Why is it too late? We are now using AACR 1. Nothing that I have heard has convinced me that it is, in fact, too late to change the position. Haven't we invested too much? Perhaps we have invested a lot, and from what I hear, that may be the case. But if the decision should be changed or altered in some way, then wouldn't we be throwing good money after bad, if we were to just adopt AACR 2 as now proposed? What about the 1978 meeting in which we said we would adopt AACR 2 in 1981? The problem with that is that the code itself was published late in 1978, after that meeting, and the interpretations of the code did not become available until late 1979, so we are only now beginning to see very specifically what the implications are. Finally, won't ARL be going it all alone again? I would say from the correspondence that I have seen, that no, ARL would not be going it all alone. As a matter of fact, the United States would not be going it all alone. At least Canada and Great Britain have library associations discussing exactly the same issue.

MR. WELSH (Library of Congress): There is a great temptation to approach this subject in a facetious or sarcastic manner. My attitude is admittedly colored by a feeling of total frustration, and a sense of outrage. My frustration stems from a review of the valiant attempts to prepare for the implementation of AACR 2. My outrage grows from the agreement of August 5, 1978 to proceed following a one-year delay. The code was available at the time of that meeting. It was not in published form, but it was available. With due respect to the concerns of my colleague, LC cannot reverse the present direction. We cannot break faith. And the British Library has announced that it will adopt AACR 2.

The Library of Congress has just received, in the House mark-up, a seven-and-one-half-million-dollar cut in our budget. We have put enormous resources into implementing AACR 2. In response to the August 5, 1978 meeting, we are supplying both forms of names in current and retrospective records. We have already spent $350,000.00 for 200,000 records. We have spent 60 man weeks of training our staff for AACR 2. We have worked very hard with ALA to prepare for the 13 AACR 2 training institutes which are under way, or will be under way soon. The cost that we would have to bear were we to change, would be the reanalyzing of the 200,000 records to add AACR 1. Continuing to supply AACR 1 forms probably would be as expensive as implementation of AACR 2. The brief cataloging plans would have to be postponed, because if we closed now and then later adopted part of AACR 2, the result would be chaotic. As further costs to LC, as Sue suggests, we would have to continue supplying two forms of headings at an approximate cost of $350,000 per year, at the same time that we are faced with a very serious budget cut. So we have no alternative. We must proceed with implementing AACR 2.

Some facts. AACR 2 headings differ from our current headings in 12 percent of the cases. To adopt AACR 1 fully, we would have to change over 7 percent. We have converted approximately 350,000 authority records to MARC, and approximately 200,000 have AACR 2 form. Conversion is continuing at a rate of approximately 200,000 per year.

Joe Howard is with me and can answer any of your specific questions.

MS. PERRY (University of Rochester): In a couple of weeks, I will be going back to being what I really am, the Assistant Director for Reader Services, so I am going to speak from that perspective. I have never understood catalogers — although one of my best friends is a cataloger — but perhaps I have simply been proselytized. I have probably changed my religion because I do not think there is time to rehash all that has been rehashed about this, and I believe that my patrons are going to be better served by adopting AACR 2. I absolutely cannot imagine not giving them the service of all the changes that are going to come with machine-readable data in my library. If we stay with AACR 1, we will not be able to take advantage of those changes, and the public will not be well served. So, I think this is a foolish discussion at this point.

MR. GORMAN (University of Illinois): I have a vested interest in this discussion, which is slightly different from the one you might think. The vested interest is that at Illinois we adopted AACR 2 in November 1979. We catalog about 8,000 titles a month. We started a new catalog with cards conforming to AACR 2. These, of course, are also represented in our machine-readable files, which will be available when we have our on-line work flow. Two things have happened. One is that the productivity of catalogers has gone up by about 10 percent. The other thing that has happened is we have had no, I repeat, no unfavorable comments on the new catalog, and a large amount of favorable comment from teaching faculty using the library and from reader's services librarians using the new catalog.

The second thing I would like to say is to point out to those of you who did not receive Mr. Thompson's letter that it was, if I can put it kindly, loaded. It does not surprise me at all that it elicited negative comments.

MR. VEANER (University of California, Santa Barbara): I think in all honesty we would have to say that no code is really any good from the viewpoint of an administrator or a manager, in the sense that none of them is going to be cheap or inexpensive to use, or provide us with a lot of decisions simply. If we are looking for that kind of simplicity in anything that is as complex and intellectual as cataloging, we are not going to find it; it is a false goal. I do not think it is fair to criticize the code on that ground. A second observation is that we already use multiple codes all the time. Every time a librarian or a scholar looks at the printed catalog of the British Museum, or at any printed national bibliography, or indeed, uses any bibliographic tool, that person is using multiple sets of codes, and we will most likely never escape that. A third observation is that, I think, most of the objections now raised are really geared towards the current catalog and the inconveniences that would result from implementing the AACR 2. But whether we like it or not, the card catalog is a tool that does have a limited future lifetime, even though we cannot know whether it is two years or five years. If we do not have AACR 2, we will have AACR 3, AACR 4, etc. whether we like it our not. We cannot stop this.

MR. ROSENTHAL (University of California, Berkeley): I think the question of implementation of AACR 2 is a very complex one, and with all due recognition for the serious and expensive efforts that LC has made in preparing for the implementation of AACR 2 — not only LC, but ALA as well — I do believe that the net effect, tangible or intangible, on the members of this Association is going to be far greater in the future than the expenditures that are being made by the Library of Congress today. And I would suggest that all of us individually and collectively need to consider these effects.

On balance, I have come to the conclusion that it would be better not to implement the code for two reasons: 1) the money is better spent elsewhere, and 2) the code does a disservice to the users of our libraries, a net disservice. My reason for the latter position is that I do not believe most library users care much about the form of the name headings, both personal and corporate, but they are likely to be disturbed in trying to find items in a library's collection when there is obvious and considerable inconsistency between forms of headings for the same identity.

MR. FRANTZ (University of Virginia): I hestitate to speak because I do not know much about cataloging, but I think this has probably been the trouble with our Association. Many of us did not and we really could not see the implications of what was happening until the code was upon us. I certainly sympathize with Bill Welsh and the Library of Congress because maybe the fault lies with us a little bit. They tried their best to work with us. The money stakes are very high, and now as these implications do arise, it is to me a very trying time. I feel that much of what Susan is saying is right. I feel that, as this code is upon us, our constituencies, our faculties are going to view our profession as confused and possibly inept. I wish we could turn the clock back as though the code were upon us for great deliberation, and not upon us, in fact. I think Susan is correct.

MR. EDELMAN (Rutgers University): I am certainly not a cataloger; I am learning my way around in very painful fashion. I have not grown up in American libraries, as all of you have. My patience with the card catalog, therefore, is not very great. I am not very impressed with it, and since I have now found out the cost calculations, I am even far less enthusiastic. To try, by implementing this code, to improve a hopeless tool is a terrible waste of effort. It is a terrible waste of time, and I must confess, a terrible waste even of my effort in bringing our literature a little closer to our faculty and students. I do not consider this code a help at all. I am very much aware of the problems that even this statement will cause, but we face problems and there are times that we may ask about the Emperor and his clothes, and this is as good a time as any. I am being introduced to this subject by my staff, who are as well prepared, I can proudly say, as probably any other staff, and we are prepared to implement the code. I do not like it. I do not know why. And I urge that this matter be considered here.

MR. WELSH: I would like to make three comments. First, I would like to give Ray Frantz more credit than he is willing to assume, when he said he thought the ARL was only partially responsible. Second, I think the problem still exists, even with Joe's comments and Sue's comments. We are still not dealing with hard facts about the use of the catalog. I think it is a smoke screen. Third, with respect to the comment that Allen made about AACR 3, as long as I am in my position as Deputy Librarian of Congress, and if I have anything to say about it, there will not be a hard bound copy of the next set of cataloging rules. I think that we have recognized our mistakes. If there are changes that need to be made and we can find a forum —

which includes ARL, ALA and all interested parties — future codes should be issued in some sort of looseleaf form so they are not thrust upon us as a fait accompli. This is the problem we are dealing with now. It is the uncertainty, the unknown that is frightening us.

MS. ABELL (University of California, San Diego): I am afraid that it is not the unknown but the known that is frightening me, and I would like to identify with the presentation which Sue made, and some of the comments that followed, particularly Ray's. It seems to me that, at the very least, ARL might at this point try to seek some kind of compromise, and might ask one of our committees to explore the possibility of some kind of compromise. For example, if I heard him correctly, Mr. Welsh suggested that it cost about $350,000 a year to produce AACR 1 headings as well as AACR 2 headings. That is $3,500 a year per ARL member, and believe me, it is going to cost each of us a lot more than $3,500 a year to implement the new code.

MR. DE GENNARO (University of Pennsylvania): I have long opposed the adoption of AACR 2, and though I think it is a bit late at this point to try to stop it, I would like to go on record as saying that I am opposed to the code. My own staff are prepared to implement it, though we cannot quite see where it is going to get us. We do not see any advantage to implementing it but are doing it as though we were coping with some other calamity that is hitting us, as we have other problems in this field, I wish there were some way of turning it back. I am sympathetic with Mr. Welsh and the efforts LC has put in at this point, but I still think it is worth discussing the problem, and I admire Sue Martin's courage for raising the issue.

MR. GOVAN (University of North Carolina): I know that we all feel the agony, and the agony seems to me to be more acute at this hour than it might have been a little earlier, but I must say that I sympathize with Bill's position. Someone mentioned a compromise. I had the dubious pleasure of being on our Task Force on Bibliographic Control when we last went through the trauma of dealing with this, and I thought that LC was very responsive and indeed did strike a compromise by postponing the implementation for a year, though they were never quite sure in their own minds what good that was going to do. We have looked at a number of studies about the impact of this code — the costs, the kinds of changes, and so forth — and the impact varies considerably from one institution to another. At one time we all thought that closing the catalog meant the implementation automatically of AACR 2, and we continue now to think that it is going to affect each one of us in the same way. But, it is going to be a local decision, and the impact is going to be managed on a local level. How we do that is going to depend on us. We are not going to be affected equally. LC has adopted a code, and I do not think they can back away from that position. I think as far as confidence is concerned, this waffling is going to create the impression of incompetence than anything else. The question is now, faced with a new code, how do we individually, in local situations, deal with it. I do not think any of us know the facts clearly enough to be able to say what that impact is going to be. We have been through this now for 18 months — and the action was going on for years before that — and I do not blame LC for being impatient with us and saying, where were you when we needed you. We are now faced with a fact. Let us try to stop this ever happening again, but let us go on with what we have already agreed to do some months back.

MS. DUNLAP: Is there further discussion? There being no one at the microphones, and no motion for action, we will close the debate on the subject.

Report on CLR Program on Library Education

MR. HAAS (Council on Library Resources): In recent months we have talked with a number of individuals about the general subject of professional education and training as these activities relate to the needs of collegiate and research libraries. Librarians, personnel officers, people from outside of the profession, foundation officers, all agree that this topic is a matter of importance. There are too few first-rate people coming into the profession. That is not to say that there are not many good people in library school now, but we are not, I think, getting our fair share of the exceptional graduates of undergraduate colleges.

Second, the present nature of research librarianship, to say nothing of future prospects, is far more complicated and far more demanding in terms of both skills and comprehension than has been the case in the past, a change brought on at least in part by computer and communications technology, but also by the realities of library economics. I think this combination creates a set of intellectual problems that needs careful thinking through and economic issues that need to be resolved with something more durable than budgetary "band-aids."

Clearly, there are also political problems. Each set of concerned and interested people have their own agendas. We need to sit back and recast our perceptions of the nature of this profession, or, as I have come to think of it, this aggregation of professions that are required to make research libraries go. What we had in mind, and what we have done, is to outline a set of things that seem to need doing. There is, as yet, no final plan, engraved in stone. But it is clear that several actions need to happen on several fronts.

I am among those, and I find there are many others, who are convinced that a purposeful internship in a research library must be a part of the formal education of those going into research librarianship. We will, initially, probably be working with a few library schools (initially very few) that are willing to help create a professional program geared specifically to research librarianship. Simultaneously, we will look for a few libraries to work with those schools to develop an intern/library host relationship in conjunction with the library schools so that the students carry out both their formal course work and the internship in a planned and structured way.

Second, we need to bring into the profession a larger share of the first-rate people graduating from liberal arts colleges. There is evidence that the graduate record scores (both verbal and mathematical) of people going into librarianship are on the low side, compared to those going into law, medicine, and a number of other professional fields. We hope to have a fellowship program for a limited number of exceptional students to cover their costs, both while they attend library school and during the internship. We also plan an additional stipend arrangement to cover some of the expenses of individuals who have finished their course work and are in their internship in one or another library. This adds up, over time, to a fair amount of money. We will also try to help, in modest ways, the participating library schools with some of the financial costs of creating a program in research librarianships. It is anticipated that, at least initially, we will only work with two or three schools.

At the same time, we want to begin to address the problem of a division that has developed in our profession. There is too great a gap between the library schools and the libraries themselves. We are looking for ways to improve that link. There is also a problem related to the quality of much library-related research, and I think what we are going to try, at least initially, is to sponsor a series of annual invitational seminars designed to address basic issues facing research libraries face now and into the rest of the century. We hope to draw in people from higher education administration, economists, and other specialists from both inside and outside the profession to see if we can focus attention on a limited number of central issues that are probably not now getting the kind of attention they deserve. From this exercise, we hope simultaneously to develop questions and hypotheses that need attention, further analysis and research, both within library schools and libraries and outside the library field, so that we might begin to build a body of creditable information against which libraries can plot their course over the next 20 years or so. These are simply examples of the kinds of things we have in mind.

The budget we have laid out for a five year period is substantial. We will be creating a program committee of at least ten people, drawing on people from research libraries, library schools, the scholarly disciplines, and other professional education fields. We plan now to bring that committee into being very quickly. I note that John McDonald has agreed to serve as Chairman. The committee will find itself undertaking a pretty strenous exercise over the next year or two, because it is that committee, and the links its members have with organizations like ARL, that will refine, what is, at the moment, a very rough draft of a plan. Our profession has a set of obligations that, I think, it underestimates, and changes are required to enable individuals to assume those obligations with great skill. We are optimistic that funding, at least for the first three years, will become available. I have had some discussions with foundations, and there is some enthusiasm there. The key problem is to make certain that the people who begin to flow through this chain are put to work as productively as possible when they go to work. I think that is one of the real problems with the profession, e.g. its capacity to incorporate in an uninhibited way the challenge of using the imagination and energy of the best people.

I should note one additional probable program area. It has been pointed out time and again that our real asset is the people now in the profession. They are the ones who are, by and large, going to be running our libraries during the next twenty years. Acknowledging this, we plan to create a new management fellowship program to make it possible for senior people who have recently been named to either a directorship or another policy level job to come together for a five- or six-week period for an intensive immersion in issues of the future. During the course of the fellowship year, they might come back for perhaps two one-week periods. These fellows would probably work throughout the year on an analytical project keyed specifically to their job.

As you know, the Council has supported a management intern program for seven years (two of those interns are here today). All in all, it has been a successful enterprise, but it does require people to separate themselves from their jobs for a whole year. That fact in itself restricts the number of applicants we get. The approach we are talking about here is in addition to that program, one that would allow people to maintain their major responsibilities, but still join a small group of people with like responsibilities to sharpen their perceptions of their jobs — not the day-to-day operation, but the underlying goals and directions. Perhaps the ten people a year will build, over time, an esprit de corps among themselves, because they will come to share their experiences and their insights with each other. Such a venture might begin to build again the kind of cohesion that ARL has provided over the years to research librarians.

These are simply examples of what we have in mind. Everyone that I have talked to has encouraged us to proceed. We are willing to do so, but we do not underestimate the magnitude of the job. It is clear that if it is to succeed in a fundamental way, then it is going to take participation, encouragement, and help, in the literal sense of those words, from the many people in this room. In a sense, this is a premature announcement, because planning has not begun. But on the other hand, once we embark on something like this, we are not going to wait until next fall to get started. We are going to start it now, hence this notice.

Report on the National Commission on Libraries and Information Sciences

MR. TREZZA (NCLIS): I have had a few questions concerning the current status of implementation of recommendations resulting from the White House Conference on Library and Information Services. You will recall that two mechanisms were established: one in the original legislation, and one by delegates at the Conference. The delegates passed a resolution asking the Commission to set up an ad hoc committee on implementation of the White House Conference resolutions. This ad hoc committee was to be made up of two representatives from each state and territory, selected by the delegates from those states along with the "at large" delegates of those states. One of the individuals would represent the library area, and the other the citizen community area. The states are in the process of selecting the members and the first meeting of that committee will be in Minneapolis on September 16-17. On September 18-19, the Commission will have its regular meeting, also in Minneapolis, so that it can take whatever action is recommended by the ad hoc committee. There are all kinds of questions about what the ad hoc committee will do. We hope they are going to decide how to work for implementation of the recommendations. Remember, only a few of the recommendations require legislation. Most of them require work in the field — at the local, state or national level.

The legislation for the Conference called for the Commission to make its report to the President 120 days after the end of the Conference. The Commission did so on March 19, presenting a summary report to the President at a special ceremony. Stuart Eizenstat, Assistant to the President for Domestic Affairs and Policy, was there to accept, as were a number of other people, and the final report is now about ready to go to the publisher. All ARL libraries are on the mailing list for all Commission publications, so you all should have received a copy of the report. In addition to the recommendations, the report contains a proposed National Library and Information Services Act. As you know, Senator Javits of New York introduced a National Library Act last year. It has now been revised, to a great extent in conformance with the recommendations from the White House Conference, and the chance of the revised act being introduced in Congress are excellent. I understand that Senator Pell and Congressman Ford, the key committee chairs involved, plan to hold regional hearings on the Act in 1981, and the Commission is also planning to hold hearings.

By law, the President must make his recommendations to the Congress based on the outcome of the White House Conference 90 days after the Conference ends. To assist in determining what his library program is going to be, the President has set up a high-level, inter-agency task force to study the recommendations. Dick

Hays of the Office of Libraries and Learning Technologies has been asked to chair the task force. The group will determine which recommendations are the most important in terms of implementation and then make recommendations to the President.

The Commission's current activities include an International Relations Planning Group and an Ad Hoc Committee on Library and Postal Services. In the next six months, the NCLIS Task Force on the Public/Private Sector will issue its final report dealing with the relationship of the private sector and the government in the distribution of information. This is a very basic problem: when does the government interfere with the private sector, and when does the private sector inhibit the public is right to information. We also have a special task force in conjunction with the Special Libraries Association, which is going to explore the role of special libraries in the development of a national network program. In addition, we have set up a task force on community information referral services, and we are planning to appoint a task force in June to address ethnic minorities.

The National Periodicals Center/System is still officially supported by NCLIS, and the Commission members plan to do all they can to be part of the study that is written into the Senate version of Title II-D of the Higher Education Act. Another area of great importance to the Commission is standards. The American National Standards Institute Subcommittee Z39, as you heard, is having financial problems. The Commission, in addition to contributing funds for the operations of Z39, has representatives serving on the finance committee, trying to help Z39 to become financially stable.

Earlier Connie Dunlap mentioned that ARL is going to make recommendations to the President regarding Commission appointments. July 19 is the day Commission appointments terminate each year. Three appointments will end on that date this year, including that of Chairman Benton. If you look at the Commission membership, you will discover that, at the moment, five of the fourteen members are librarians, and after July 19, only four will be librarians.

The last point I want to make is about staff changes of the Commission. As you know, I am leaving the Commission the end of June to direct a special project for the Library of Congress and the Federal Library Committee on existing governmental library resources and services around the county. The goal of the study is to propose ways to improve coordination of federal libraries and information resources and services to meet national and local needs. It is an 18-month project, and an important one, part of the Commission's national program as well as the Federal Library Committee's program. As a result, the Commission is currently engaged in a search for a new Executive Director and I urge you to submit nominations of well-qualified people for the position. It is a difficult position but an important job that needs to be done. I urge you to remember that the Commission is important to all librarians, and to do anything you can to help the new director.

If you have any questions, I will be glad to answer them. I want to say that I have appreciated the opportunity over the last five years to attend your meetings, and on occasion speak to you about Commission programs. I think ARL is one of the most important library organizations, but it can become more effective if you learn to become more political. You have got to decide to not react all the time. You must learn to act.

APPENDIX - A

NETWORK DEVELOPMENT AND RESEARCH LIBRARIES; SOME GUIDING PRINCIPLES

(Revised and adopted by the ARL Membership,
May 15, 1980)

The contemporary research library must struggle with many complex problems if it is to achieve bibliographic control of and provide bibliographic and physical access to its continually growing collections. These are not new problems, but rather are ones that have challenged and perplexed librarians for generations. Some ARL members may not recall that the Association in fact was founded in 1932 because an influential group of university librarians felt that the College and Reference Section of the American Library Association was failing to pay sufficient attention to the special problems of bibliographic control. Their disenchantment eventually led to the organization we now know as the Association of Research Libraries. Frank McGowan, who has chronicled the history of ARL, credits ARL's influence to the following factors:

> For thirty years, prior to its organization and incorporation in 1962, the Association was essentially an informal ... discussion group of librarians who had reached the top of their profession. Its policy was to undertake only those few projects that other groups could not, or would not, undertake. When it chose to move, the Association was able to apply the expertise of the country's foremost research librarians and the resources of its greatest libraries to some of the chief bibliographic problems of the time.[1]

McGowan attributes ARL's success to two specific characteristics:

> One, ARL has functioned as a structurally non-traditional organization, and two, the membership was restricted, excluding individuals except as representatives of major research libraries of the country.[2]

The environment McGowan described is not as evident today as it was forty years ago. ARL is no longer an informal organization and the issues have become more complex. And yet today, as was true at the time of its founding, ARL does represent some of the nation's research libraries. It is ARL's raison d'etre to serve as a mechanism for addressing problems common to all or the majority of its members.

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[1] McGowan, Frank M., "The Association of Research Libraries 1932-1962". Ph.D. dissertation, University of Pittsburgh, 1973. p. 1.

[2] Ibid.

Today, bibliographic control, collection development, and resource sharing are issues of great import to research librarians. Each of the issues has presented the library manager with a set of complex operational and service problems, and the availability of a nationwide network of linked data bases would facilitate movement toward solutions of these problems. But before the objective of a nationwide machine-readable data base of bibliographic information can be realized, many organizational, economic, political, and technical issues must be resolved. Since ARL libraries have a great stake in the final outcome, it seems essential that they clearly articulate their needs and, whenever possible, stand ready to contribute their resources and expertise in support of action programs mounted by agencies such as the Library of Congress, the Council on Library Resources, the National Commission on Libraries and Information Science, the bibliographic utilities, and the state and regional networks.

The Task Force on National Library Network Development is aware of a growing sense of uneasiness about current trends relative to network development. Consequently, the Task Force recommends that ARL should state clearly those principles regarding network issues which are of concern to its members in order to influence positively the direction of network development.

Ever since the creation of the National Commission on Libraries and Information Science and the issuance of its program statement entitled "Toward a National Network," followed by the seminal reports produced by the Network Development Office of the Library of Congress, considerable time and energy has been devoted to solving problems related to the creation of a national network. It is now more clearly understood that the overall goal of a nationwide bibliographic network will not be easily achieved. Many groups and organizations feel they have a stake in the network, and often the stakeholders disagree on how the network should be developed, organized, funded, and/or governed, and/or about the products and services it should offer. The many stakeholders must grapple with and resolve issues for which no consensus exists and none is likely.

Much of the current activity in research libraries can be related directly to the need to adopt new tools to ensure continued bibliographic control of and access to library collections. Major work on most of the on-line systems presently used by most North American libraries began in the late 1960's, but it was OCLC's emergence as an on-line system in the early 1970's that signaled a fundamental breakthrough in the use of technology. OCLC's system has permitted libraries, through shared cataloging, to collaborate in the construction of a large data base which provides location information for millions of titles. The more recent emergence of RLG/RLIN and WLN now provides additional options for obtaining bibliographic products and services. Are the differences among the systems significant? Does it really make any difference from which bibliographic utility a library purchases its services?

ARL has traditionally taken a position on issues of importance to its members, but the OCLC/RLIN/WLN question is an extraordinary case. The Task Force is convinced the Association would be ill-advised to endorse any of the existing systems at this time. We believe the selection of a bibliographic utility is a decision that each library director must make after evaluating carefully his or her local situation. But ARL can and should collect data about the utilities and share this information with those directors who must inevitably bear the responsibility for the decision.

The Task Force is of the opinion that the bibliographic needs of research libraries are not always the same as those of other libraries and that it is therefore essential for those responsible for the management of the bibliographic utilities to be aware of the perceived requirements of research libraries. A system designed to accommodate the needs of ARL libraries should include: (1) an authority control capacity for names and subjects, (2) timely access to quality bibliographic data for all formats of materials represented in research library collections, (3) accommodation of non-Roman alphabets, and (4) the capacity to provide detailed location information. In addition to system capabilities, there are economic and political issues to be resolved. For example, there is already a pressing need to clarify ownership rights so as not to impede sharing bibliographic data and documents, and there might be a need to develop computer-based mechanisms to compensate contributors of acceptable records to a nationwide data base.

Although we realize there are many broad policy issues yet to be identified, the Task Force recommends that the ARL membership endorse the following eight statements of principle:

(1) Research library collaboration - The bibliographic utilities should organize their services and formulate policies to enable research libraries to fulfill their principal responsibility to the scholarly community, as well as to meet their regional obligations. Improved communication among ARL libraries will enhance cooperation among research institutions and consequently benefit others.

(2) Network participation - The bibliographic utilities should facilitate research library participation in regional, statewide, and local resource sharing networks.

(3) Quality and scope of bibliographic data - The bibliographic utilities should support research library requirements for access to a comprehensive data base comprising detailed bibliographic records based on national standards.

(4) Linkage of utilities - The bibliographic utilities should be urged to establish communication linkages that permit the exchange of records to facilitate research libraries' need to access comprehensive nationwide data bases.

(5) Nonexclusive contracts with utilities - The right of a library to participate in, and contract for services from, more than a single utility should be respected provided that the library meets the utility's reasonable criteria for affiliation.

(6) Regional network development - The bibliographic utilities should support regional library network development that will support research library requirements and assist individual libraries in the development of local systems.

(7) Local systems development - The bibliographic utilities should be encouraged to expand their efforts to assist individual libraries in the development of local systems, such as circulation, on-line catalogs, etc., that in the long term can be linked to the utilities.

(8) Description of services and products - The bibliographic utilities should undertake to provide ARL libraries as well as other libraries with authoritative and comprehensive information regarding available and projected services in an agreed upon manner. The information should be made available in a way that permits ARL libraries to make specific comparisons that will permit informed decisions based upon prevailing conditions in local library environments.

ARL Task Force on National Library
Network Development

Hugh C. Atkinson
Patricia M. Battin
William J. Studer
William J. Welsh
Richard M. Dougherty, Chair

APPENDIX - B

NATIONAL INTERLIBRARY LOAN CODE, MAY 1980

(Endorsed by the ARL Membership, May 15, 1980)

Introduction

Interlibrary loan is essential to the vitality of libraries of all types and sizes and is a means by which a wide range of material can be made available to users. This code is designed primarily to regulate lending relations between research libraries and between libraries operating outside networks or consortia. It is recognized that through specific agreements, libraries organized geographically, by mutual subject interest, or other bases will have developed codes of their own. It is not the intent of this code to prescribe the nature of interlibrary lending under such arrangements. (See "Model Interlibrary Loan Code for Regional, State, Local, or Other Special Groups of Libraries.")[1]

The effectiveness of a national system of interlibrary lending is directly related to the equitable distribution of costs among all the libraries involved. Interlibrary loan is an adjunct to, not a substitute for, collection development in individual libraries. Requests to national and research libraries or requests beyond networks and consortia should only be made after local, state, and regional sources have been exhausted. It is understood that every library must maintain an appropriate balance between resource sharing and responsibility to its primary clientele.

This national code contains general guidelines for the borrowing and lending of library material. Details of procedures to be used in implementing the code will be found in the Interlibrary Loan Procedure Manual published by the American Library Association.[2] All libraries participating in interlibrary loan should have copies of this publication and should follow these recommendations. The manual also provides information on international interlibrary loan.

The Reference and Adult Services Division, acting for the American Library Association in its adoption of this code, recognizes that the exchange of material between libraries is an important element in the provision of library service and believes it to be in the public interest to encourage such an exchange.

I. Definition

An interlibrary loan is a transaction in which library material, or a copy of the material, is made available by one library to another upon request.

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[1] "Model Interlibrary Loan Code for Regional, State, Local, or Other Special Groups of Libraries" is available from the Reference and Adult Services Division, American Library Association, 50 E. Huron Street, Chicago, IL 60611.

[2] Thomson, Sarah Katharine. Interlibrary Loan Procedure Manual. Chicago: American Library Association, 1970. This manual is under revision at the present time.

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II. Purpose

The purpose of interlibrary loan as defined in this code is to obtain, for research and serious study, library material not available through local, state, or regional libraries.

III. Scope

A. A loan or a copy of any material may be requested from another library in accordance with the published lending policy of that library. The lending library will decide in each case whether a particular item can be provided.

B. Most libraries will not ordinarily lend the following types of materials:

1. Rare or valuable material, including manuscripts;
2. Bulky or fragile items that are difficult or expensive to ship;
3. Material in high demand at the lending library;
4. Material with local circulation restrictions;
5. Unique material that would be difficult or impossible to replace.

IV. Responsibilities of Borrowing Libraries

A. Each library should provide the resources to meet the study, instructional, informational, and normal research needs of its primary clientele. This can be accomplished through its own collection or through local, state, or regional cooperative resource-sharing agreements. Material requested from another library under this code should generally be limited to those items that do not conform to the library's collection development policy and for which there is no recurring demand.

B. The interlibrary loan staff of each library should be familiar with, and use, relevant interlibrary loan documents and aids. These include this code, the Interlibrary Loan Procedure Manual, lending policies of the major research libraries, and standard bibliographic tools and services.

C. Each library should inform its users of the purpose of interlibrary loan and of the library's interlibrary borrowing policy.

D. The borrowing library is responsible for compliance with the copyright law (Title 17, U.S. Code) and its accompanying guidelines, and should inform its users of the applicable portions of the law. An indication of compliance must be provided with all copy requests.

E. Requested material must be described completely and accurately following accepted bibliographic practice as outlined in the current Interlibrary Loan Procedure Manual. If the item cannot be verified, the statement "cannot verify" should be included along with complete information as to the original source of the citation.

F. The borrowing library should carefully screen all requests for loans and reject any that do not conform to this code.

G. Standard bibliographic tools, such as union catalogs, computerized data bases, and other listing services, should be used in determining the location of material. Care should be taken to avoid concentrating the burden of requests on a few libraries.

H. Standard interlibrary loan formats should be used for all requests, regardless of the means of transmission.

I. The safety of borrowed material is the responsibility of the borrowing library from the time the material leaves the lending library until it is received by the lending library. The borrowing library is responsible for packaging the material so as to ensure its return in good condition. If damage or loss occurs, the borrowing library must meet all costs of repair or replacement, in accordance with the preference of the lending library.

J. The borrowing library and its users must comply with the conditions of loan established by the lending library. Unless specifically forbidden by the lending library, copying by the borrowing library is permitted provided that it is in accordance with the copyright law and no damage to the original material will result.

K. The borrowing library should encourage library users to travel to other libraries for on-site access to material when extensive use of a collection is required or the nature of the material requires special handling. The borrowing library should assist the user in making the necessary arrangements.

V. Responsibilities of Lending Libraries

A. The decision to lend material is at the discretion of the lending library. Each library is encouraged, however, to interpret as generously as possible its own lending policy with due consideration to the interests of their primary clientele.

B. A statement of interlibrary loan policy and charges should be made available upon request.

C. The lending library should process requests promptly. Conditions of loan should be stated clearly and material should be packaged carefully. The lending library should notify the borrowing library when unable to fill a request, stating the reason for not filling the request.

D. A lending library is responsible for informing any borrowing library of its apparent failure to follow the provisions of this code.

VI. Expenses

A. The borrowing library assumes responsibility for all costs charged by the lending library, including transportation, insurance, copying, and any service charges. The borrowing library should try to anticipate charges and authorize them on the original request.

B. It is recommended that nominal costs, such as postage, be absorbed by the lending library.

C. If the charges are more than nominal and not authorized by the borrowing library, the lending library should inform the requesting library and ask for authorization to proceed.

VII. Duration of Loan

A. The duration of loan, unless otherwise specified by the lending library, is the period of time the item may remain with the borrowing library disregarding the time spent in transit.

B. Interlibrary loan material should be returned promptly.

C. The borrowing library should ask for renewals only in unusual circumstances. The renewal request should be sent in time to reach the lending library no later than the date due. If the lending library does not respond, it will be assumed that renewal, for the same period as the original loan, is granted.

D. All material on loan is subject to immediate recall, and the borrowing library should comply promptly.

VIII. Violation of Code

Continued disregard of any provision of this code is sufficient reason for suspension of borrowing priviledges.

APPENDIX - C

REPORT OF THE TASK FORCE ON ARL MEMBERSHIP CRITERIA

(Revised and adopted by the ARL
Membership, May 15, 1980)

Background

Following the recommendation of the ARL Board of Directors, President Le Moyne Anderson appointed a Task Force on ARL Membership Criteria in May, 1979 and assigned to it the following charge:

The ARL Board of Directors has recommended the establishment of a Task Force on ARL Membership Criteria to review and make recommendations for improvement to the present criteria. The Task Force should consider the following points in its deliberations:

1. The present quantitative criteria permit admission of academic libraries which are considerably smaller than many of the present members, thereby lowering the median figures each year. The Task Force should consider ways to slow or stop this trend, e.g., raising the percentage of the medians required, basing requirements on the medians of older members only, restricting the number of members added per year or every two years.
2. The Statistics Task Force has been working to develop an index measure for research libraries. The Membership Task Force should seriously consider using this index in the membership criteria, and should meet jointly with the Statistics Task Force to discuss the quantitative criteria.
3. If membership criteria are upgraded, current ARL members may (and have) become deficient in some areas. The Task Force should determine whether the present guidelines for maintaining ARL membership are adequate.
4. Qualitative assessments of the level of research supported by a library's collections and services may be necessary in determining membership for both academic and nonacademic libraries. The Task Force should recommend if, when, and how such assessment should be done.

The members appointed were William Studer (Ohio State), James Wyatt (Alabama), and Jay Lucker (M.I.T.), Chair. The Task Force decided to ask Richard Talbot (Massachusetts), who is Chair of the Task Force on ARL Statistics, to meet with them because of the strong relationship between the work of the two groups. Kendon Stubbs, a member of the Task Force on ARL Statistics also met with the group in February 1980 to help prepare the final report. (The third member of the Statistics Task Force, Donald Koepp, was unable to attend the February meeting.)

The Task Force submitted an interim report to the ARL Board of Directors in October 1979 recommending that ARL use the library index measure developed by the Task Force on ARL Statistics to determine a university library's eligibility for ARL membership. In October, the Board endorsed the direction of the work of the Task Force and asked that its final report incorporate the following recommendations: 1) that ARL be primarily an association of academic research libraries; 2) that nonacademic research libraries be considered by invitation only, with consideration of how they would contribute to the overall goals of ARL; 3) that a standing membership committee be formed which could consistently interpret nonacademic criteria over time. The Membership Committee would review possible new nonacademic members once every five years, submitting its recommendations to the Board. Invitations would be issued based on the Board's evaluations of the Committee's recommendations.

Based on its exploration of the problem, including a study of the work of the Task Force on ARL Statistics and incorporation of the recommendations of the ARL Board, the Task Force on ARL Membership Criteria has prepared the following Statement on Criteria for Membership in the Association of Research Libraries. The Task Force recommends this statement be adopted by the Membership of the Association. (The Task Force recommendations are repeated in summary form at the end of this report.)

Statement on Criteria for Membership in the Association of Research Libraries

Part One: Prologue

The expressed mission of the Association of Research Libraries is "to strengthen and extend the capacity of its member libraries to provide the recorded information needed, both now and in the future, by the research community."[1] To fulfill this central purpose, "the energies of the Association are focused on matters which are of special concern to large research libraries as distinct from problems shared by them with other kinds of libraries."[2] Therefore, membership in the Association of Research Libraries is necessarily limited to research institutions sharing common goals, interests, and needs.

The criteria for ARL membership derive from efforts to define a universe of similar institutions that share a commitment to providing the materials needed for serious study and research. ARL is primarily an association of major university libraries and quantitative criteria have been developed that describe libraries much like the current university library members. These criteria, described in the section of this paper discussing academic libraries, are applied to university libraries seeking membership in ARL. Nonacademic research libraries are considered for membership only by invitation and are judged eligible for membership based on considerations described in the section of this paper discussing nonacademic libraries. For both academic and nonacademic libraries, continued membership in the Association requires a continuing commitment to research support; the criteria for maintenance of membership are described in each section.

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[1] ARL Committee on Role and Objectives. Report, May 21, 1973.
[2] Ibid.

Part Two: Academic Libraries

The Bylaws of the Association specify that "membership shall be open to major university libraries whose collections and services are broadly based" and define such libraries as "those whose parent institutions broadly emphasize research and graduate instruction at the doctoral level and grant their own degrees, which support large, comprehensive research collections on a permanent basis, and which give evidence of an institutional capacity for and commitment to the advancement and transmittal of knowledge." To insure that academic libraries applying for membership in ARL meet the description specified by the Bylaws, the parent institution of a university library must offer the Ph.D. degree in a minimum number of fields at the time of application if the library is to be considered for ARL membership. The required number is equal to 50 percent of the median number of Ph.D. fields offered by the parent institutions of ARL university libraries in the year of application. In the academic year 1978-79, this number was 23. In considering an institution for membership, Ph.D. fields are defined in conformance with the instructions to member institutions for reporting data for the Association's annual statistical compilation.[1]

Libraries meeting this definition of "major university library" are then compared with ARL member institutions in a number of statistical categories. The basis for this comparison is the annual statistical report provided by each ARL member library in accordance with guidelines and definitions developed by the Task Force on ARL Statistics and supported by the Board and Membership of the Association. Accepted principles include the reporting of salaries and wages without fringe benefits and the desirability of reporting data for a main campus or components of a centrally administered library system only; variations between Canadian and U.S. currency will be adjusted in future reports. In order to ensure that the data is reasonably comparable, these guidelines should be followed.

Through the use of the statistical techniques known as factor analysis, the Task Force on ARL Membership Criteria has identified, from the 27 categories of data reported in the ARL Statistics, 10 categories which best describe, at present, those characteristics the ARL members hold most in common:

number of volumes held
number of volumes added (gross)
number of current serials received
number of microforms held
expenditures for library materials
expenditures for binding
total salaries and wages
other operating expenditures
number of professional staff
number of nonprofessional staff

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[1] For the purpose of ARL reporting, Ph.D. fields are equivalent to the 441 specific subject specialties enumerated in the form used by the U.S. National Center for Education Statistics in collecting information on higher education. The official title of the form is: "Higher Education General Information Survey, Degrees and Other Formal Awards Conferred..." It is designated as NCES Form 2300-2.1A. Although the HEGIS form requests figures for all doctoral degrees, only fields in which Ph.D.s are awarded are reported on the ARL questionnaire.

It is possible to assess a potential member's similarity to the present membership by examining the statistics of the candidate library in these areas. The method of comparison proposed by the Task Force is use of an index score derived by the variant of factor analysis called principal component analysis.

By means of this analysis, weights are determined for each of the 10 variables above. The analysis gives the highest weights to those variables in which the ARL members are most uniform and lower weights to the variables for which there is more variation among the members. Unlike the previous membership test where volumes held and volumes added, for example, were treated as equally important, in this analysis volumes held are weighted more heavily than volumes added.

Scores are then derived for each ARL member by multiplying the 10 weights by the library's data and taking the sum of the ten products.[1] For 1978-1979 the weights used in producing the scores are:

volumes held	.12431
volumes added (gross)	.11905
microforms	.07064
current serials	.12297
expenditures for materials	.12284
expenditures for binding	.11364
total salaries	.12743
operating expenditures	.10920
professional staff	.12674
nonprofessional staff	.11923

It should be emphasized that the scores represent no more than an exact mathematical transformation of the raw data for each ARL library for a given year, weighted according to how much or how little variation there is among the members.

A useful feature of the scores taken as a whole is that they are derived in such a way that they approximate a normal curve, the most familiar expression of which is the bell-shaped curve. The characteristics of this kind of curve are well-known. The midpoint is 0. The largest libraries will be those with scores above +1; and the smallest, below -1. Approximately 84 percent of the members will score higher than -1. We can also make inferences about nonmembers. If a nonmember library is, in fact, similar to the ARL libraries in collections, expenditures, and staffing, the probability is very high that it should score more than -1. A score of -1 may therefore be taken as a fitting test for ARL membership.[2] Therefore, to qualify for membership in ARL, a library is required to achieve an index score greater than -1.00 for each of the four years prior to and including the year of application. This quantitative requirement ensures that new members will be essentially similar to most present ARL members.

The scores for 1978-1979, which form an index of ARL library size and resources deployed, are shown on the following page.

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[1] For statistical reasons the raw data are transformed into a standard normal form.

[2] A more detailed discussion of the principal component scores will appear in an analysis of the ARL statistics to be issued by the Committee on ARL Statistics in the near future.

ARL LIBRARY INDEX, 1978-79

(Principal component scores based on Volumes Held; Volumes Added, Gross; Microforms; Current Serials; Expenditures for Library Materials; Expenditures for Binding; Total Salaries; Other Operating Expenditures; Professional Staff; Nonprofessional Staff)

1.	Harvard	3.05
2.	Calif., Berkeley	2.18
3.	Yale	2.12
4.	Indiana	1.97
5.	Calif., Los Angeles	1.92
6.	Toronto	1.91
7.	Illinois	1.88
8.	Stanford	1.80
9.	Washington	1.70
10.	Texas	1.62
11.	Michigan	1.62
12.	Columbia	1.54
13.	Cornell	1.47
14.	Wisconsin	1.40
15.	Minnesota	1.03
16.	British Columbia	.96
17.	Chicago	.90
18.	North Carolina	.87
19.	Rutgers	.83
20.	Florida	.76
21.	Virginia	.72
22.	Princeton	.72
23.	Pennsylvania State	.66
24.	Northwestern	.63
25.	Ohio State	.59
26.	Pennsylvania	.54
27.	Calif., Davis	.51
28.	New York	.46
29.	Alberta	.40
30.	Southern California	.30
31.	Pittsburgh	.29
32.	Georgia	.29
33.	Michigan State	.27
34.	Duke	.26
35.	SUNY-Buffalo	.21
36.	Iowa	.19
37.	Arizona	.17
38.	Houston	.14
39.	Kansas	.11
40.	Maryland	.08
41.	McGill	.03
42.	Calif., San Diego	.02
43.	Southern Illinois	-.03
44.	Kentucky	-.03
45.	Hawaii	-.11
46.	VIP & SU	-.12
47.	Calif., Santa Barbara	-.17
48.	Florida State	-.20
49.	Washington State	-.31
50.	South Carolina	-.32
51.	Connecticut	-.33
52.	Syracuse	-.34
53.	Missouri	-.35
54.	Johns Hopkins	-.35
55.	Tennessee	-.36
56.	MIT	-.39
57.	Western Ontario	-.39
58.	Washington U-St. Louis	-.40
59.	Utah	-.40
60.	Wayne State	-.41
61.	Nebraska	-.51
62.	Arizona State	-.51
63.	Temple	-.52
64.	Louisiana State	-.52
65.	Texas A&M	-.53
66.	York	-.56
67.	Purdue	-.56
68.	Cincinnati	-.56
69.	Iowa State	-.56
70.	Boston	-.58
71.	Joint University*	-.60
72.	Brigham Young	-.65
73.	SUNY-Stony Brook	-.67
74.	Emory	-.67
75.	Colorado	-.71
76.	Massachusetts	-.72
77.	Rochester	-.72
78.	Georgetown	-.72
79.	Miami	-.73
80.	Howard	-.82
81.	Brown	-.89
82.	Oklahoma	-.90
83.	Queen's	-.91
84.	Oregon	-.91
85.	New Mexico	-.97
86.	Calif., Riverside	-.99
87.	SUNY-Albany	-1.05
88.	McMaster	-1.05
89.	Dartmouth	-1.13
90.	Colorado	-1.14
91.	Tulane	-1.21
92.	Case Western Reserve	-1.22
93.	Guelph	-1.24
94.	Notre Dame	-1.28
95.	Alabama	-1.39
96.	Kent State	-1.60
97.	Oklahoma State	-1.87
98.	Rice	-1.91

*Changed to Vanderbilt University Library, July 1979

It was noted earlier that the ARL medians have declined relatively as smaller libraries have joined; and thus the former membership test, based on 50 percent of various medians, has also represented a declining threshold for applicants. Mathematically it can be shown that the gap between the median test and the index test proposed here widens as smaller libraries join ARL. In addition, the index test imposes a higher hurdle for membership, making it considerably more stringent than the median test.

The annual index calculation is also used to determine whether a library is continuing to meet its commitment to support research and thus should maintain its membership in ARL. Libraries unable to maintain an overall index score greater than -1.75 for each of four consecutive years will no longer qualify for membership. (In a normal distribution, 96 percent of a population falls above -1.75.) Although this requirement is slightly more stringent than the previous expectation that a member meet 40 percent of the required medians, it is more balanced. Deficient libraries need not improve in all categories, but may raise their scores by gaining sufficient strength in some heavily weighted categories to compensate for weaknesses in others. The ARL Office will review index scores for each member beginning with the data reported for 1979-80 and will notify deficient members each year.

Part Three: Nonacademic Libraries

Although ARL is primarily an association of academic libraries, the ARL Bylaws indicate that in addition to major university libraries, membership in the Association is open to "certain other libraries whose collections are recognized as having national significance." Such libraries are those research libraries not affiliated with degree granting institutions, but which may be affiliated with government agencies, federal, state or local associations committed to research, or which may be nonaligned, governed by their own boards of directors, trustees, etc. To be eligible for membership, such libraries must share the same research mission as the university library members of the ARL.

The criteria for assessing the commitment to research and the breadth and national significance of the collections of a nonacademic library must necessarily be qualitative and subject to interpretation and judgment, particularly because the essential qualification requires an assessment of the extent to which the library is similar in its goals and objectives to the university libraries that form the primary body of the Association. Therefore, membership in the Association for nonacademic research libraries is accorded only by invitation. With the approval of the membership, such invitations will be issued at the recommendation of the Board of Directors of the Association based on its evaluation of candidates identified by a standing Membership Committee on Nonacademic Libraries.[1]

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[1] The Task Force recommends that the Membership Committee on Nonacademic Libraries consist of five members, at least two of whom would represent nonacademic institutions. Terms would be staggered so that the Committee could consistently interpret the nonacademic library membership criteria over time. The Committee would be charged to periodically review possible new nonacademic members and submit its recommendations to the Board.

In seeking to identify potential candidates, the Committee will be particularly concerned with the research and scholarly mission (role and scope) defined for a library by its governing body, the commitment of support by the governing body, and evidences of the accomplishment of these missions. Emphasis will be placed on the following elements: national significance of the collection for research and scholarly work, scope and depth of services provided to the research and scholarly community, and permanence of the research collection. Important consideration will be given to how an institution could contribute to the goals and objectives of ARL.

Nonacademic research libraries will be evaluated on the qualitative elements of their operations and collections as well as on quantitative elements in accordance with the following guidelines:

A. Qualitative considerations.

1. The extent to which the library's collections make a significant contribution to scholarship and research.
2. The extent to which the library's collections are broadly based.
3. The extent to which the library's collections are of a unique nature, and contain material not widely available.
4. The extent to which the library's collections are in substantial demand by researchers and scholars not connected with the applicant institution.
5. The extent to which the library would contribute to achieving the goals of the Association of Research Libraries.

B. Quantitative considerations.

1. Size of collections:
    a. Volumes held
    b. Manuscripts held
    c. Volumes added annually
    d. Expenditures for acquisitions
2. Number of reader days (1 reader for 1 day = 1 reader day)
3. Total endowed funds
4. Total operating expenditures

Nonacademic members of the Association, as well as university libraries, are expected to maintain the required commitment to research in order to maintain membership in the Association. The ARL Membership Committee on Nonacademic Libraries will review periodically each nonacademic research library's maintenance of support for scholarship and research, contributions to the Association, and continuing mutuality of interest with the other ARL members. An apparent change in a library's mission or significant weakening of its support for research would be brought to the attention of the Board of Directors of the Association.

Summary of Recommendations

In asking the ARL Membership to adopt the preceding "Statement on Criteria for Membership in the Association of Research Libraries", the Task Force is asking the Membership to endorse the following recommendations encompassed in the "Statement."

1. A university library would be eligible to apply for membership in ARL if its parent institution offered the Ph.D. degree in a minimum number of fields. The required number of Ph.D fields would be equal to 50 percent of the median number of fields offered by the parent institutions of ARL university libraries in the year of application. (Ph.D. fields are defined in accordance with the instructions in the ARL Statistics questionnaire.)

2. University libraries that meet the eligibility requirement of 18 Ph.D. fields would be compared to the ARL academic library members on the basis of an index score derived through principal component analysis.

3. The formula for calculating the index score would be, for the present, based on the following ten characteristics:

    number of volumes held
    number of volumes added (gross)
    number of current serials received
    number of microforms held
    expenditures for library materials
    expenditures for binding
    total salaries and wages
    other operating expenditures
    number of professional staff
    number of nonprofessional staff

    (These characteristics are defined as described in the ARL Statistics questionnaire.)

4. University libraries achieving a score greater than -1.00 for each of the four years prior to and including the year of application would be recommended for admission to ARL.

5. ARL member libraries unable to maintain an index score greater than - 1.75 for each of four consecutive years would not retain their membership in the Association. (This rule would go into effect beginning with the data collected for 1979-80.)

6. Membership in the Association would be extended to nonacademic libraries only by invitation from the ARL Board and Membership; applications would not be accepted.

7. The ARL Board of Directors would appoint a standing Membership Committee on Nonacademic Libraries, consisting of five members, at least two of whom would represent nonacademic institutions. The Committee would be charged to identify nonacademic library candidates for ARL membership and to make recommendations regarding these libraries to the ARL Board.

8. The Membership Committee on Nonacademic Libraries would base its recommendations regarding new nonacademic members on the following considerations:

A. Qualitative considerations.

1. The extent to which the library's collections make a significant contribution to scholarship and research.
2. The extent to which the library's collections are broadly based.
3. The extent to which the library's collections are of a unique nature, and contain material not widely available.
4. The extent to which the library's collections are in substantial demand by researchers and scholars not connected with the applicant institution.
5. The extent to which the library would contribute to achieving the goals of the Association of Research Libraries.

B. Quantitative considerations.

1. Size of collections:
    a. Volumes held
    b. Manuscripts held
    c. Volumes added annually
    d. Expenditures for acquisitions
2. Number of reader days (1 reader for 1 day = 1 reader day)
3. Total endowed funds
4. Total operating expenditures

9. The Membership Committee on Nonacademic Libraries would also review periodically the maintenance of research support demonstrated by nonacademic library members of ARL to determine their continuing eligibility for membership. An apparent change in a library's mission or significant weakening of its support for research would be brought to the attention of the ARL Board.

Respectfully submitted by the Task Force on ARL Membership Criteria:

William Studer
James Wyatt
Jay Lucker, Chair
Richard Talbot (Chair, Task Force on ARL Statistics)

APPENDIX - D

OFFICE OF MANAGEMENT STUDIES

Annual Report Summary [1]

Introduction

The Carnegie Council's final report "Three Thousand Futures" reflects on the likely prospect of a downward drift in the quality of higher education over the next 20 years.[2] This drift is precipitated in part by the pressures of very serious inflation on the one hand and severely limited financial resources on the other. But the drift is not beyond control. The external forces affecting higher education and libraries must be recognized, their implications assessed, and new courses of action developed to secure improved performance. The choice is what the Council calls "Managing of Excellence."

Individual research library directors, long aware of these pressures, have addressed this challenge of managing excellence in a changing world by tightening internal systems and procedures, exploiting new technology, pushing for greater and more effective inter-institutional cooperation, and making more effective use of library staffs. A collective response to the challenge has been the establishment and operation of the Association of Research Libraries' Office of Management Studies (OMS). In its almost ten years of operation, the Office has addressed the challenge of improving the performance of research libraries through three basic strategies.

The first strategy — the assisted self-study approach of the Academic Library Program — introduces organizational planning, problem solving, and change through an analytical process that involves the library staff. These self-studies examine the demands and pressures of the external environment, assess implications for internal systems, and devise improvements in the library's programs and operations.

The second core strategy is to develop better information on operations, problems, and approaches through a clearinghouse called the Systems and Procedures Exchange Center. The Center periodically surveys member libraries in specific areas such as preservation, costs of library materials, or staff compensation systems, and makes available results of these surveys as well as illustrative documents from responding libraries. The Center operates on the belief that a more comprehensive understanding of the range of possible institutional approaches and responses will better equip libraries to address issues. The Center does not provide models for replication; rather, it assists libraries in making intelligent choices from a range of options.

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[1] The complete Office of Management Studies Annual Report for 1979 is available from the Office.

[2] Carnegie Council on Policy Studies in Higher Education. "Three Thousand Futures: The Next 20 Years in Higher Education." San Francisco, CA: Jossey-Bass, Inc., 1980.

The third strategy relates to the way academic libraries identify, promote, and develop managerial talent within their organizations. The OMS Training Program is committed to helping academic libraries equip their staffs with the skills, concepts, and leadership needed to improve performance. The focus of this training is on dealing more successfully with the human dimension of large, complex organizations.

The design and maintenance of these Office strategies is a product of staff experience and expertise, ARL Executive Office leadership, the advice of ARL Board of Directors and the OMS Advisory Committee, and the support and counsel of various funding agencies. While advisory groups regularly assess the Office's relative success, most recently a 1979 survey of ARL directors secured member libraries' perceptions of the importance and usefulness of OMS activities. Responses indicated widespread support for the Office and helped identify future needs.[3]

The Association's commitment to Office programs was underscored in 1979 by the ARL Board of Directors' allocation of $50,000 a year for the next five years to support the Academic Library Program. This allocation has allowed the Office to operate with a balanced budget, with foundation grants and cost recovery activities providing the remainder of the $377,500 OMS expenditures in 1979. Tables 1, 2, and 3 provide more detailed listings of sources of support and expenditures.

The approaches to management development and organizational problem-solving provided by the OMS are meant to place research libraries in a proactive stance regarding environmental pressures. In the future, the issues may change, but the fundamental challenge of adaptation, influence, and growth in a turbulent environment will continue to require the best thinking, ingenuity, and creativity of academic libraries. The following report chronicles the current Office effort to achieve these goals. The report concludes with a brief review of priorities for 1980 and a statement of commitment to invest in new efforts and to experiment with new ways of addressing issues facing research libraries.

Duane E. Webster
Director
Office of Management Studies

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[3] ARL/Office of Management Studies. Report on Results of OMS Assessment and Project Planning Inquiry. Washington, D.C.: Office of Management Studies, 1980.

Highlights of OMS Activities in 1979

A. The Academic Library Program (ALP) was implemented with self-study resources for research libraries in the management and collection areas, as well as programs for mid-sized and small academic libraries being made available to institutions willing to share the costs of operating the programs. Fifteen libraries participated in ALP self-studies in 1979.

B. The Collection Analysis Project (CAP) assisted four ARL libraries (Brigham Young University, University of Illinois, University of California/San Diego, and Case Western Reserve University) in completing self-studies. The Manual was revised and made available to current participants. Six new studies are planned for 1980. Jeffrey Gardner is the principal OMS staff member for CAP.

C. The Management Review and Analysis Program (MRAP) was used at Southern Illinois University Library at Edwardsville, and the final report is now available. Ball State University began the program at the end of the year.

D. The Organizational Screening Program helped two libraries examine organizational structures and facility use. Syracuse University Library completed the study in 1979, and Temple University Library began the project.

E. The Planning Program for Small Academic Libraries operated under a separate grant from the Lilly Endowment. The self-study manual was prepared, and seven libraries began the study in 1979. Grady Morein is the principal OMS staff member for this project.

F. The Systems and Procedures Exchange Center (SPEC) issued 10 SPEC Flyers and Kits in 1979 covering the topics of fringe benefits, professional development, cost studies and fiscal planning, performance appraisal, internal communication, external communication, special collections, goals and objectives, and microform collections. A total of 59 kits are now available. During the year the Center maintained 251 SPEC subscriptions and distributed 5,000 kits. Maxine Sitts is the SPEC coordinator and Information Services Specialist.

G. The Organizational Training and Staff Development Program encompassed three Management Skills Institutes, 31 Special Focus Workshops, and a Management Training Program for theological librarians, and also maintained a training film service. An assessment of the impact of OMS training on participants after they returned to their jobs was completed. Deanna Marcum, the OMS Training Program Specialist, decided at the end of this year to join a private consulting firm.

H. The Academic Library Consultant Training Program received 250 applications to participate in the first year of training. Office staff, with the assistance of the ALP Advisory Committee, screened these applications and interviewed 88 outstanding applicants; 40 of those interviewed were invited to a two-day Assessment Workshop which led to the selection of 20 individuals to receive the training. These 20 librarians completed a two-week consultation skills workshop and began one-year consulting internships.

I. The Office was awarded a $151,924 grant by the National Endowment for the Humanities in support of a proposal to design and test a self-study procedure to enable academic libraries to identify and address preservation problems.

J. The Office, with the assistance of the OMS Advisory Committee, conducted an assessment of OMS programs by surveying ARL directors concerning the usefulness and importance of available resources and services.

OMS Priorities for 1980

The Office reviews its program priorities annually with the assistance and advice of the OMS Advisory Committee established by the ARL Board of Directors. The committee membership currently includes: Irene Hoadley (Chairperson), Frank Grisham, Page Ackerman, Louis Martin, William Studer, and Millicent Abell. The committee meets at least four times a year to review activities and plan future programs. OMS priorities for 1980 are developmental as well as operational.

There are two developmental priorities for 1980. The first is the design, testing, and refinement of a self-study procedure to address preservation concerns of research libraries. This will be accomplished as part of the newly-funded preservation project supported by the National Endowment for the Humanities. The second priority is the development of a self-study procedure to examine the public services function in academic libraries. This project was widely encouraged by ARL directors in their response to the OMS Assessment Survey conducted in 1979.

Operational priorities relate to the various current programs of the Office. In the Academic Library Program the intent is to complete up to 20 studies in 1980 via the available self-study programs. All of the consultant trainees selected in 1979 will be given project experience in the self-study area. In addition, the selection process for the second class of consultants will be completed.

The Systems and Procedures Exchange Center will conduct three or four surveys, issue 10 flyers and kits, and assist in preparation of OMS publications such as the manual for the preservation self-study procedure. The topics scheduled for coverage include: preservation, library services, review of chief executive performance, status of librarians, and collective bargaining.

A major priority in the OMS Training Program will be recruitment of a new program coordinator. The new person will be introduced to the several ongoing training programs and will be expected to develop future directions for the program. Four Management Skills Institutes are planned for 1980, as well as several special focus workshops.

Conclusion

The central purpose of the Office is to help research libraries meet the changing instructional and research needs of higher education through the sound management of available resources. As the Office begins its tenth year of operation, the temptation is to pause and reflect on the activities and accomplishments of the decade in relation to this objective. Yet the pressures of the present and the needs of the future seem to exceed the capabilities of past responses and to call for new energies and added commitments.

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The assessment of OMS activities completed by ARL directors in 1979 indicated overall support for OMS resources and services, yet it also clearly indicated that many members have not fully exploited available programs or have not found programs sufficiently applicable to their situations. The challenge then is to provide a mix of programs ARL members will find useful in acting on important concerns and building for the future. The new preservation and public services programs are two major efforts for 1980 which will help meet that challenge.

Duane Webster
Duane Webster, Director

Jeffrey J. Gardner
Jeffrey Gardner, Associate

Deanna Marcum
Deanna Marcum, Training Specialist

Grady Morein
Grady Morein, Associate

Maxine Sitts
Maxine Sitts, Information Services
Specialist

Bibliography of Office of Management Studies Publications and Related Documentation in 1979.

Association of Research Libraries, Office of Management Studies. Systems and Procedures Exchange Center. SPEC Flyers and Kits 50-59. Washington, D.C.: Author, 1979.

- Fringe Benefits, No. 50, January 1979, 89 pp.
- Professional Development, No. 51, February 1979, 73 pp.
- Cost Studies and Fiscal Planning, No. 52, March 1979, 103 pp.
- Performance Appraisal, No. 53, April 1979, 116 pp.
- Internal Communication: Library-Wide Policies and Procedures, No. 54, May 1979, 98 pp.
- Internal Communication: Staff and Supervisory Roles, No. 55., June 1979, 112 pp.
- External Communication, No. 56, July-August 1979, 110 pp.
- Special Collections, No. 57, September 1979, 117 pp.
- Goals and Objectives, No. 58, October 1979, 98 pp.
- Microform Collections, No. 59, November-December 1979, 114 pp.

Brigham Young University Library. *Collection Analysis Project: Final Report.* September 1979. 231 pp.

Gardner, Jeffrey J. "CAP: A Project for the Analysis of the Collection Development Process in Large Academic Libraries" in *New Horizons for Academic Libraries.* New York: K.G. Sauer Publishing, Inc., 1979. pp. 456-459.

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Gardner, Jeffrey J. and Duane E. Webster. *The Collection Analysis Project: An Assisted Self-Study Manual.* Washington, D.C.: Association of Research Libraries, Office of Management Studies. Revised Edition. January 1980. 289 pp. Available only to Program Participants.

Marcum, Deanna B. and Duane E. Webster. "Personnel and Employment: Staff Development" in *The ALA Yearbook, 1979 Edition.* Chicago: American Library Association. 1979. pp. 204-206.

Morein, P. Grady. "Assisted Self-Study: A Tool for Improving Library effectiveness" in *Catholic Library World.* May-June 1979. pp. 422-425.

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Seattle University Library. *Academic Library Development Program, Report of the Self-Study.* March 1979. 254 pp.

Southern Illinois University Library. *Management Review and Analysis Program: Final Report.* April 1979. 93 pp.

University of California, San Diego. Collection Analysis Project: Final Report. La Jolla, California. November 1979. 399 pp.

Webster, Duane E. "The ARL Office of Management Studies." In The Bowker Annual of Library and Book Trade Information. New York: R.R. Bowker Co., 1979, 24th edition. pp. 91-93.

Webster, Duane E. "Managing the College and University Library" in Current Concepts in Library Management. Littleton, Colorado: Libraries Unlimited, 1979.

Webster, Duane E. Resource Notebook on Organization. Series editor Maxine K. Sitts. Washington, D.C.: Association of Research Libraries, Office of Management Studies. January 1979. 147 pp.

Webster, Duane E. and John G. Lorenz, "Effective Use of Library Consultants" in Library Trends. Winter 1980. pp. 345-362.

SOURCES OF FINANCIAL SUPPORT FOR OMS PROGRAMS IN 1978/1979*

1.	Association of Research Libraries	$ 47,500
2.	Council on Library Resources	$ 78,000
3.	Andrew W. Mellon Foundation	$ 65,342
4.	Lilly Endowment	$ 54,223
5.	H.W. Wilson Foundation	$ 30,756
6.	Interest on cash reserve	$ 18,861
7.	Cost Recovery	$ 94,331
	TOTAL	$389,013

OMS PROGRAM EXPENDITURES IN 1978/79*

1.	Academic Library Program (self studies, consultant training)	$191,500
2.	Systems and Procedures Exchange Center	$ 50,000**
3.	Organizational Training Program	$ 50,000**
4.	Development of Resource Notebooks	$ 17,000
5.	Distribution of SPEC Materials	$ 15,000
6.	Planning Program for Small Academic Libraries	$ 54,000
	TOTAL	$377,500

OMS LINE ITEM EXPENDITURES IN 1978/79

1.	Salaries and Benefits	$212,000
2.	Consultant Fees	$ 500
3.	Travel	$ 49,000
4.	Supplies and Materials	$ 32,000
5.	Printing and Duplicating	$ 35,000
6.	Equipment	$ 7,000
7.	Other costs	$ 22,000
8.	Grants to institutions	$ 20,000
	TOTAL	$377,500

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*Fiscal Year October-September

** Estimate based on distribution of staff time

Detailed OMS financial reports are regularly included in the ARL minutes as part of the audited ARL accounting statements.

APPENDIX - E

ATTENDANCE AT 96TH MEMBERSHIP MEETING
SALT LAKE CITY, UTAH
May 15-16, 1980

University of Alabama Libraries
James F. Wyatt

University of Alberta Library
Bruce Peel

University of Arizona Library
W. David Laird

Arizona State University Library
Donald Riggs

Boston Public Library
Gunars Rutkovskis

Boston University Library
Dorothy Ladd

Brigham Young University Library
Sterling J. Albrecht

University of British Columbia Library
Basil Stuart-Stubbs

Brown University Library
Ann Randall

University of California Library, Berkeley
Joseph Rosenthal

University of California Library, Davis
Not represented

University of California Library, Los Angeles
Russell Shank

University of California Library, Riverside
Not represented

University of California Library, San Diego
Millicent D. Abell

University of California Library, Santa Barbara
Allen B. Veaner

Case Western Reserve University Libraries
James V. Jones

Center for Research Libraries
Donald B. Simpson

University of Chicago Library
Not represented

University of Cincinnati Libraries
Harold Schell

University of Colorado Library
Clyde Walton

Colorado State University Library
Le Moyne W. Anderson

Columbia University Libraries
Merrily E. Taylor

University of Connecticut Library
John P. McDonald

Cornell University Libraries
Louis E. Martin

Dartmouth College Libraries
Margaret A. Otto

Duke University Libraries
Connie Dunlap

Emory University Library
Herbert F. Johnson

University of Florida Libraries
Gustave A. Harrer

Florida State University Library
Not represented

Georgetown University Library
Not represented

University of Georgia Libraries
David F. Bishop

University of Guelph Library
Margaret Beckman

Harvard University Library
Oscar Handlin

University of Hawaii Library
Don L. Bosseau

University of Houston Libraries
Robin Downes

Howard University Libraries
Binford H. Conley

University of Illinois Library
Michael Gorman

Indiana University Libraries
W. Carl Jackson

University of Iowa Libraries
Leslie W. Dunlap

Iowa State University Library
Warren B. Kuhn

John Crerar Library
Not represented

Johns Hopkins University Library
Susan K. Martin

University of Kansas Library
James Ranz

University of Kentucky Libraries
Not represented

Kent State University Libraries
Not represented

Library of Congress
William Welsh

Linda Hall Library
Thomas D. Gillies

Louisiana State University Library
George Guidry, Jr.

McGill University Library
Not represented

McMaster University Library
Graham R. Hill

University of Maryland Library
H. Joanne Harrar

University of Massachusetts Libraries
Richard Talbot

Massachusetts Inst. of Technology Libs.
Jay K. Lucker

University of Miami Library
Frank Rodgers

University of Michigan Library
Richard M. Dougherty

Michigan State University Library
Richard E. Chapin

University of Minnesota Libraries
Eldred Smith

University of Missouri Library
John Gribbin

National Agricultural Library
Not represented

National Library of Canada
Not represented

National Library of Medicine
James Barry

University of Nebraska Libraries
Charles E. Chamberlin

The Newberry Library
Joel L. Samuels

University of New Mexico Library
Paul Vassallo

New York Public Library
David H. Stam

New York State Library
Joseph F. Shubert

New York University Libraries
Not represented

University of North Carolina Libraries
James F. Govan

Northwestern University Libraries
John P. McGowan

University of Notre Dame Libraries
Robert C. Miller

Ohio State University Libraries
William J. Studer

University of Oklahoma Library
Sul H. Lee

Oklahoma State University Library
Roscoe Rouse

University of Oregon Library
George W. Shipman

University of Pennsylvania Libraries
Richard De Gennaro

Pennsylvania State University Library
Stuart Forth

University of Pittsburgh Libraries
Glenora E. Rossell

Princeton University Library
Donald Koepp

Purdue University Library
Miriam A. Drake

Queen's University Library
Margot B. McBurney

Rice University Library
Samuel Carrington

University of Rochester Libraries
Margaret Perry

Rutgers University Library
Hendrik Edelman

University of Saskatchewan Library
Nancy A. Brown

Smithsonian Institution Libraries
Robert Maloy

University of South Carolina Library
Not represented

University of Southern Calif. Library
Roy L. Kidman

Southern Illinois University Library
Kenneth G. Peterson

Stanford University Libraries
David C. Weber

State University of New York at Albany
Joseph Z. Nitecki

State University of New York at Buffalo
Not represented

State University of New York at Stony Brook
John B. Smith

Syracuse University Libraries
Donald C. Anthony

Temple University Library
Joseph Boisse

University of Tennessee Libraries
Donald R. Hunt

University of Texas Libraries
Harold W. Billings

Texas A & M University Library
Irene B. Hoadley

University of Toronto Libraries
Ritvars Bregzis

Tulane University Library
William Newman

University of Utah Libraries
Roger K. Hanson

Vanderbilt University Library
Frank P. Grisham

Virginia Polytechnic Inst. & State Univ.
H. Gordon Bechanan

University of Virginia Libraries
Ray Frantz

University of Washington Library
Merle Boylan

Washington State University Library
Allene F. Schnaitter

Washington University Libraries
Charles Churchwell

Wayne State University Libraries
Vern M. Pings

University of Western Ontario Library
Not represented

University of Wisconsin Libraries
Joseph Treyz

Yale University Libraries
Rutherford D. Rogers

York University Library
Anne Woodsworth

ATTENDANCE BY THE MEMBERSHIP - NAME INDEX

Abell, Millicent D.	University of California Library, San Diego
Albrecht, Sterling J.	Brigham Young University Library
Anderson, Le Moyne W.	Colorado State University Library
Anthony, Donald C.	Syracuse University Libraries
Barry, James	National Library of Medicine
Bechanan, H. Gordon	Virginia Polytechnic Inst. & State University
Beckman, Margaret	University of Guelph Library
Billings, Harold W.	University of Texas Libraries
Bishop, David F.	University of Georgia Libraries
Boisse, Joseph	Temple University Library
Bosseau, Don L.	University of Hawaii Library
Boylan, Merle	University of Washington Library
Bregzis, Ritvars	University of Toronto Libraries
Brown, Nancy A.	University of Saskatchewan Library
Carrington, Samuel	Rice University Library
Chamberlin, Charles	University of Nebraska Libraries
Chapin, Richard	Michigan State University Library
Churchwell, Charles	Washington University Libraries
Conley, Binford H.	Howard University Libraries
De Gennaro, Richard	University of Pennsylvania Libraries
Dougherty, Richard M.	University of Michigan Library
Downes, Robin	University of Houston Libraries
Drake, Miriam A.	Purdue University Library
Dunlap, Connie	Duke University Libraries
Dunlap, Leslie W.	University of Iowa Libraries
Edelman, Hendrik	Rutgers University Library
Forth, Stuart	Pennsylvania State University Library
Frantz, Ray	University of Virginia Libraries
Gillies, Thomas D.	Linda Hall Library
Gorman, Michael	University of Illinois Library
Govan, James F.	University of North Carolina Libraries
Gribbin, John	University of Missouri Library
Grisham, Frank P.	Vanderbilt University Library
Guidry, George	Louisiana State University Library
Handlin, Oscar	Harvard University Libraries
Hanson, Roger K.	University of Utah Libraries
Harrar, H. Joanne	University of Maryland Library
Harrer, Gustave A.	University of Florida Libraries
Hill, Graham R.	McMaster University Library
Hoadley, Irene	Texas A&M University Library
Hunt, Donald R.	University of Tennessee Libraries

Jackson, W. Carl	Indiana University Libraries
Johnson, Herbert F.	Emory University Library
Jones, James V.	Case Western Reserve University Libraries
Kidman, Roy L.	University of Southern California Library
Koepp, Donald	Princeton University Library
Kuhn, Warren B.	Iowa State University Library
Laird, W. David	University of Arizona Library
Ladd, Dorothy	Boston University Library
Lee, Sul H.	University of Oklahoma Library
Lucker, Jay K.	Massachusetts Institute of Technology Libraries
McBurney, Margot B.	Queen's University Library
McDonald, John P.	University of Connecticut Library
McGowan, John P.	Northwestern University Libraries
Maloy, Robert	Smithsonian Institution Libraries
Martin, Louis E.	Cornell University Libraries
Martin, Susan K.	Johns Hopkins University Library
Miller, Robert C.	University of Notre Dame Libraries
Newman, William	Tulane University Library
Nitecki, Joseph Z.	State University of New York Albany
Otto, Margaret A.	Dartmouth College Libraries
Peel, Bruce	University of Arizona Library
Perry, Margaret	University of Rochester Libraries
Peterson, Kenneth G.	Southern Illinois University Library
Pings, Vern M.	Wayne State University Libraries
Randall, Ann	Brown University Library
Ranz, James	University of Kansas Library
Riggs, Donald	Arizona State University Library
Rodgers, Frank	University of Miami Library
Rosenthal, Joseph	University of California Library, Berkeley
Rossell, Glenora E.	University of Pittsburgh Libraries
Rouse, Roscoe	Oklahoma State University Library
Rogers, Rutherford D.	Yale University Library
Rutkovskis, Gunars	Boston Public Library
Samuels, Joel L.	The Newberry Library
Schell, Harold	University of Cincinnati Libraries
Schnaitter, Allene F.	Washington State University Library
Shank, Russell	University of California Library, Los Angeles
Shipman, George W.	University of Oregon Library
Shubert, Joseph F.	New York State Library
Simpson, Donald B.	Center for Research Libraries
Smith, Eldred	University of Minnesota Libraries
Smith, John B.	State University of New York at Stony Brook
Stam, David H.	New York Public Library
Stuart-Stubbs, Basil	University of British Columbia Library
Studer, William J.	Ohio State University Libraries

Talbot, Richard	University of Massachusetts Libraries
Taylor, Merrily E.	Columbia University Libraries
Treyz, Joseph	University of Wisconsin Libraries
Vassallo, Paul	University of New Mexico Library
Veaner, Allen B.	University of California Library, Santa Barbara
Walton, Clyde	University of Colorado Library
Weber, David C.	Stanford University Libraries
Welsh, William	Library of Congress
Woodsworth, Anne	York University Library
Wyatt, James F.	University of Alabama Libraries

Guests

Richard Boss	Information Systems Consultants (speaker)
Margaret Child	National Endowment for the Humanities
James Clayton	University of Utah (speaker)
Pamela Darling	Columbia University (speaker)
Rebecca D. Dixon	CLR Intern - Massachusetts Institute of Technology
Ralph Ellsworth	
Nancy Gwinn	Council on Library Resources
Warren J. Haas	Council on Library Resources
Dick Hays	Department of Education
Joseph Howard	Library of Congress
C. Lee Jones	Council on Library Resources
Sally Jordison	University of Utah
Ake Koel	Yale University
Susan K. Nutter	CLR Intern - University of North Carolina
Donald A. Smalley	Battelle Columbus Laboratories (speaker)
Peggy Sullivan	American Library Association
Gary L. Topping	Utah Developmental Services Department, History Division (speaker)
Alphonse F. Trezza	National Commission on Library and Information Science
Barbara Turlington	Association of American Universities
Ann M. Walker	Battelle Columbus Laboratories
Robert Wedgeworth	American Library Association
Kenneth Winslow	Winslow Associates (speaker)

ARL Staff

Ralph E. McCoy, Interim Executive Director
Carol A. Mandel, Associate Executive Director
Nicola Daval, Information Officer
Duane E. Webster, Director, Office of Management Studies
Jeffrey J. Gardner, Associate, Office of Management Studies
Maxine Sitts, Information Services Specialist, Office of Management Studies

APPENDIX - F

ASSOCIATION OF RESEARCH LIBRARIES
OFFICERS, BOARD OF DIRECTORS, COMMITTEES AND TASK FORCES

MAY 1980

ARL OFFICERS AND BOARD FOR 1979/1980

Connie Dunlap, President
Jay K. Lucker, Vice President & President-Elect
Le Moyne W. Anderson, Past President

Millicent D. Abell	(Oct. 1982)
Charles Churchwell	(Oct. 1982
Richard M. Dougherty	(Oct. 1980)
Frank P. Grisham	(Oct. 1980)
Irene B. Hoadley	(Oct. 1981)
Margot B. McBurney	(Oct. 1981)
Eldred Smith	(Oct. 1982)
James F. Wyatt	(Oct. 1981)

STANDING COMMITTEES

Committee on ARL Statistics

Kendon Stubbs, University of Virginia (1982)
Anne Woodsworth (1982)
Richard J. Talbot, Chairman (1982)

Committee on Foreign Newspapers on Microfilm

Gustave A. Harrer (1980)
Bruce Peel (1980)
Gordon R. Williams (1980)
Joseph E. Jeffs, Chairman (1980)

Committee on Interlibrary Loan

H. Gordon Bechanan (1980)
Susan K. Martin (1982)
Glenora E. Rossell (1982)
Jay K. Lucker (1980)
Kenneth G. Peterson, Chairman (1981)

Committee on Membership (Ad Hoc)

ARL Executive Committee

Committee on a National Periodicals System

Richard De Gennaro (1980)
John P. McDonald (1980)
Peter Paulson, N.Y. State Library (1981)
Allen B. Veaner (1980)
James Schmidt, Chairman (1980)

Committee on Nominations

ARL Vice President, Chairman

Committee on Preservation of Research Libraries Materials

James F. Govan (1981)
Joanne Harrar (1981)
David Laird (1982)
Joel L. Samuels (1982)
David H. Stam, Chairman (1982)

ARL COMMITTEES ON FOREIGN ACQUISITIONS

Africa

Peter Duignan, Hoover Institution of War, Peace, and Revolution
J.M.D. Crossey, Yale University
Esther J. Walls, SUNY Stony Brook
Julian Witherell, Library of Congress
Hans Panofsky, Northwestern University, Chairman

Middle East

George N. Atiyeh, Library of Congress
James Pollack, University of Indiana
David H. Partington, Harvard University, Chairman

Eastern Europe

Nina Lencek, Columbia University
Laurence Miller, University of Illinois
Joseph A Placek, University of Michigan
Anna Stuliglowa, Cornell University
Wojciech Zalewski, Stanford University
David H. Kraus, Library of Congress, Chairman

East Asia

Weying Wan, University of Michigan
Eugene Wu, Harvard University
Warren Tsuneishi, Library of Congress, Chairman

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Paul Fasana, New York Public Library
Maureen Patterson, University of Chicago
Louis A. Jacob, Library of Congress, Chairman

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Latin America

Nettie Lee Benson, University of Texas
Donald Wisdom, Library of Congress
Carl W. Deal, University of Illinois, Chairman

Western Europe

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Ten-Tsai Feng, Boston Public Library
Howard Sullivan, Wayne State University, Chairman

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ARL TASK FORCES

Task Force on Bibliographic Control (1980)

Merle N. Boylan
Joseph H. Howard, Library of Congress
Ake I. Koel, Yale University
Joseph Rosenthal
James F. Govan, Chairman
Richard M. Dougherty (liaison with T.F. on Nat. Lib. Network Development)

Task Force on Library Education (1982)

Stuart Forth
Irene B. Hoadley
Herbert Johnson
James Ranz
Margot B. McBurney, Chairman

Task Force on ARL Membership Criteria (1980)

William J. Studer
James F. Wyatt
Jay K. Lucker, Chairman
Richard J. Talbot (liaison with T.F. on ARL Statistics)

Task Force on National Library Network Development (1980)

Hugh C. Atkinson
Patricia Battin
William J. Studer
William J. Welsh
Richard M. Dougherty, Chairman

Advisory Committee, Bibliographic Control of Materials in Microform - Planning Grant

Robert Grey Cole, University of Missouri-Columbia
Richard M. Dougherty
Linda Hamilton, University Microfilms International
Alan Meckler, Microform Review, Inc.
Susan Severtson, Research Publications, Inc.
Basil Stuart-Stubbs
Allen B. Veaner, Chairman

REPRESENTATIVES

ALA Committee on Cataloging: Description and Access	Carol Mandel
ALA Interlibrary Loan Committee	Jay Lucker
ALA Joint Statistics Coordinating Committee	Carol Mandel
ANSI Committee Z39	Ralph McCoy
CONSER Advisory Group	Carol Mandel
Eighteenth-Century Short Title Catalogue	Ray Franz
Joint Committee on Union List of Serials	William Budington
LC Bibliographic Advisory Committee	James Govan
LC Cataloging in Publication Advisory Group	Carol Mandel
LC Network Advisory Committee	Richard Dougherty
Society of American Archivists	C. Herbert Finch, Cornell
Universal Serials & Book Exchange	Joanne Harrar

CENTER FOR CHINESE RESEARCH MATERIALS ADVISORY COMMITTEE

Roy Hofheinz, Jr., Harvard University
Ying-mao Kau, Brown University
David T. Roy, University of Chicago
Weiying Wan, University of Michigan
Eugene Wu, Harvard University
Philip J. McNiff, Chairman

OFFICE OF UNIVERSITY LIBRARY MANAGEMENT STUDIES ADVISORY COMMITTEE

Millicent D. Abell
Page Ackerman, UCLA Graduate School of Library and Information Science
Frank P. Grisham
Louis E. Martin
William J. Studer
Irene B. Hoadley, Chairman

APPENDIX - G

MEMBERSHIP LIST
MAY 1980

University of Alabama Libraries
P.O. Box S
University, Alabama 35486
James F. Wyatt, Dean of Libraries
(205) 348-5298

University of Alberta Library
Edmonton, Alberta, Canada T6G 2JB
Bruce Peel, Libn. to the Univ.
(403) 432-3790

University of Arizona Library
Tucson, Arizona 85721
W. David Laird, Librarian
(602) 626-2101

Arizona State University Library
Tempe, Arizona 85281
Donald Riggs, Librarian
(602) 965-3416

Boston Public Library
Copley Square
Boston, Massachusetts 02117
Philip J. McNiff, Librarian
(617) 536-5400

Boston University Library
Boston, Massachusetts 02215
John Laucus, Director
(617) 353-3710

Brigham Young University Library
324 Lee Library
Provo, Utah 84602
Sterling J. Albrecht, Director
(801) 378-2905

University of British Columbia Library
Vancouver, B.C., Canada V6T IW5
Basil Stuart-Stubbs, Librarian
(604) 228-2298

Brown University Library
Providence, Rhode Island 02912
C. James Schmidt, Librarian
(401) 863-2162

University of California Library, Berkeley
Berkeley, California 94720
Joseph Rosenthal, Director
(415) 642-3773

University of California Library, Davis
Davis, California 95616
Bernard Kreissman, Librarian
(916) 752-2110

University of California Library, Los Angeles
Los Angeles, California 90024
Russell Shank, Librarian
(213) 825-1201

University of California Library, Riverside
P.O. Box 5900
Riverside, California 92507
Eleanor Montague, Univ. Libn.
(714) 787-3221

University of California, San Diego
The University Library
La Jolla, California 92037
Millicent D. Abell, Librarian
(714) 452-3061

University of California, Santa Barbara
The University Library
Santa Barbara, California 93106
Allen B. Veaner, Librarian
(805) 961-3256

Case Western Reserve University Libraries
Cleveland, Ohio 44106
James V. Jones, Director
(216) 368-2990

Center for Research Libraries
5721 Cottage Grove Avenue
Chicago, Illinois 60637
Gordon R. Williams, Director
(312) 955-4545

University of Chicago Library
Chicago, Illinois 60637
Stanley McElderry, Director
(312) 753-2933

University of Cincinnati Libraries
Cincinnati, Ohio 45221
Harold Schell, Dean, Library Admin. &
Director of Libraries
(513) 475-2218

University of Colorado Library
Boulder, Colorado 80309
Clyde Walton, Director
(303) 492-7511

Colorado State University Library
Fort Collins, Colorado 80521
Le Moyne W. Anderson, Director
(303) 491-5911

Columbia University Libraries
New York, New York 10027
Patricia Battin, Vice Pres.
& Univ. Libn.
(212) 280-2247

University of Connecticut Library
Storrs, Connecticut 06268
John P. McDonald, Director
(203) 486-2219

Cornell University Libraries
Ithaca, New York 14850
Louis E. Martin, Univ. Libn.
(607) 256-3689

Dartmouth College Libraries
Hanover, New Hampshire 03755
Margaret A. Otto, Librarian
(603) 646-2235

Duke University Libraries
Durham, North Carolina 27706
Connie Dunlap, Librarian
(919) 684-2034

Emory University Library
Atlanta, Georgia 30322
Herbert F. Johnson, Director
(404) 329-6861

University of Florida Libraries
Gainesville, Florida 32603
Gustave A. Harrer, Director
(904) 392-0341

Florida State University Library
Tallahassee, Florida 32306
Charles E. Miller, Director
(904) 644-5211

Georgetown University Library
Washington, D.C. 20007
Joseph E. Jeffs, Director
(202) 625-4095

University of Georgia Libraries
Athens, Georgia 30601
David Bishop, Director
(404) 542-2716

University of Guelph Library
Guelph, Ontario, Canada N1G 2W1
Margaret Beckman, Chief Libn.
(519) 824-4120

Harvard University Library
Wadsworth House
Cambridge, Massachusetts 02138
Oscar Handlin, Director
(617) 495-2401

University of Hawaii Library
2550 The Mall
Honolulu, Hawaii 96822
Don L. Bosseau, Director
(808) 948-7205

University of Houston Libraries
Houston, Texas 77004
Robin Downes, Director
(713) 749-2340

Howard University Libraries
Washington, D.C. 20001
Binford H. Conley, Director
(202) 636-7234

University of Illinois Library
Urbana, Illinois 61801
Hugh C. Atkinson, Director
(217) 333-0790

Indiana University Libraries
Bloomington, Indiana 47401
W. Carl Jackson, Dean of Libraries
(812) 337-3404

University of Iowa Libraries
Iowa City, Iowa 52240
Leslie W. Dunlap, Dean of Lib. Admin.
(319) 353-4450

Iowa State University Library
Ames, Iowa 50011
Warren B. Kuhn, Dean of Lib. Services
(515) 294-1442

John Crerar Library
Chicago, Illinois 60616
William S. Budington, Director
(312) 225-2526

Johns Hopkins University Library
The Milton S. Eisenhower Library
Baltimore, Maryland 21218
Susan K. Martin, Librarian
(301) 338-8325

University of Kansas Library
Lawrence, Kansas 66044
James Ranz, Dean of Libraries
(913) 864-3601

University of Kentucky Libraries
Lexington, Kentucky 40506
Paul A. Willis, Director
(606) 257-3801

Kent State University Libraries
Kent, Ohio 44242
Hyman W. Kritzer, Assistant Provost &
Director of Libraries
(216) 672-2962

Library of Congress
Washington, D.C. 20540
Daniel J. Boorstin, Librarian
(202) 426-5205

Linda Hall Library
Kansas City, Missouri 64110
Thomas D. Gillies, Director
(816) 363-4600

Louisiana State University Library
Baton Rouge, Louisiana 70803
George Guidry, Jr., Director
(504) 388-2217

McGill University Library
Montreal, P.Q., Canada H3C 3G1
Marianne Scott, Director
(514) 392-4949

McMaster University Library
1280 Main Street West
Hamilton, Ontario, Canada L85 4L6
Graham R. Hill, University Librarian
(416) 525-9140 Local 4359

University of Maryland Library
College Park, Maryland 20742
H. Joanne Harrar, Librarian
(301) 454-3011

University of Massachusetts Libraries
Amherst, Massachusetts 01002
Richard J. Talbot, Director
(413) 545-0284

Massachusetts Inst. of Technology Libs.
Cambridge, Massachusetts 02139
Jay K. Lucker, Director
(617) 253-5651

University of Miami Library
P.O. Box 248214
Coral Gables, Florida 33124
Frank Rodgers, Director
(305) 284-3551

University of Michigan Library
Ann Arbor, Michigan 48109
Richard M. Dougherty, Director
(313) 764-9356

Michigan State University Library
East Lansing, Michigan 48823
Richard E. Chapin, Director
(517) 355-2341

University of Minnesota Libraries
Minneapolis, Minnesota 55455
Eldred Smith, Director
(612) 373-3097

University of Missouri Library
Columbia, Missouri 65201
John Gribbin, Director
(314) 882-4701

National Agricultural Library
Beltsville, Maryland 20705
Richard A. Farley, Director
(301) 344-4248

National Library of Canada
395 Wellington Street
Ottawa, Ont., Canada K1A 0N4
Joseph Guy Sylvestre, Librarian
(613) 966-1623

National Library of Medicine
Bethesda, Maryland 20014
Martin M. Cummings, Director
(301) 496-6221

University of Nebraska Libraries
Lincoln, Nebraska 68508
Gerald A. Rudolph, Dean of Libraries
(402) 472-7211

The Newberry Library
60 West Walton Street
Chicago, Illinois 60610
Joel L. Samuels, Dir. of Lib. Sers.
(312) 943-9090

The University of New Mexico
General Library
Albuquerque, New Mexico 87131
Paul Vassallo, Dean of Lib. Sers.
(505) 277-4241

New York Public Library
Fifth Avenue at 42nd Street
New York, New York 10018
Richard W. Couper, President
(212) 695-3231

New York State Library
Cultural Education Center
Empire State Plaza
Albany, New York 12234
Joseph F. Shubert, State Librarian
(518) 474-5930

New York University Libraries
New York, New York 10003
Carlton C. Rochell, Dean of Libraries
(212) 598-7676

University of North Carolina Libraries
Chapel Hill, North Carolina 27515
James F. Govan, Director
(919) 933-1301

Northwestern University Libraries
Evanston, Illinois 60210
John P. McGowan, Librarian
(312) 492-7640

University of Notre Dame Libraries
Notre Dame, Indiana 46556
Robert C. Miller, Librarian
(219) 283-7317

Ohio State University Libraries
Columbus, Ohio 43210
William J. Studer, Director
(614) 422-4241

University of Oklahoma Library
Norman, Oklahoma 73069
Sul H. Lee, Director
(405) 325-2611 or 2614

Oklahoma State University Library
Stillwater, Oklahoma 74074
Roscoe Rouse, Librarian
(405) 624-6321

University of Oregon Library
Eugene, Oregon 97403
Donald T. Smith, Act. Dir.
(503) 686-3056

University of Pennsylvania Libraries
Philadelphia, Pennsylvania 19104
Richard De Gennaro, Director
(215) 243-7091

Pennsylvania State University Library
University Park, Pennsylvania 16802
Stuart Forth, Dean of Univ. Libraries
(814) 865-0401

University of Pittsburgh Libraries
Pittsburgh, Pennsylvania 15260
Glenora Edwards Rossell, Director
(412) 624-4401

Princeton University Library
Princeton, New Jersey 08540
Donald Koepp, Director
(609) 452-3170

Purdue University Library
Lafayette, Indiana 47907
Joseph M. Dagnese, Director
(317) 749-2571

Queen's University
Douglas Library
Kingston, Canada K7L 5C4
Margot B. McBurney, Chief Libn.
(613) 547-5950

Rice University Library
6100 S. Main, Box 1892
Houston, Texas 77001
Samuel Carrington, Interim Director
(713) 527-4022

University of Rochester Libraries
Rochester, New York 14627
Margaret Perry, Acting Director
(716) 275-4463

Rutgers University Library
New Brunswick, New Jersey 08901
Hendrik Edelman, Univ. Libn.
(201) 932-7505

University of Saskatchewan Library
Saskatoon, Canada S7N 0W0
Nancy A. Brown, Univ. Libn.
and Director of Libraries
(306) 343-4216

Smithsonian Institution Libraries
Constitution Avenue at 10th St., N.W.
Washington, D.C. 20560
Robert Maloy, Director
(202) 381-5496

University of South Carolina Libraries
Columbia, South Carolina 29208
Kenneth E. Toombs, Director of Libs.
(803) 777-3142

University of Southern California Library
Los Angeles, California 90007
Roy L. Kidman, Librarian
(213) 741-2543

Southern Illinois University Library
Carbondale, Illinois 62901
Kenneth G. Peterson, Dean of
Library Affairs
(618) 453-2522

Stanford University Libraries
Stanford, California 94305
David C. Weber, Director
(415) 497-2016

State University of New York at Albany
Libraries
1400 Washington Avenue
Albany, New York 12222
John J. Farley, Acting Director
(518) 457-8540

State University of New York at Buffalo
Libraries
Buffalo, New York 14214
Saktidas Roy, Director
(716) 636-2965

State University of New York at Stony Brook
Library
Stony Brook, New York 11794
John B. Smith, Director & Dean of Lib.
(516) 246-5650

Syracuse University Libraries
Syracuse, New York 13210
Donald C. Anthony, Director
(315) 423-2574

Temple University Library
Paley Library
Philadelphia, Pennsylvania 19122
Joseph A. Boisse, Director
(215) 787-8231

University of Tennessee Libraries
Knoxville, Tennessee 37916
Donald R. Hunt, Director
(615) 974-4127

University of Texas Libraries
Austin, Texas 78712
Harold W. Billings, Director
(512) 471-3811

Texas A&M University Library
College Station, Texas 77843
Irene B. Hoadley, Director
(713) 845-6111

University of Toronto Libraries
Toronto, Ont., Canada M5S 1A5
Robert Blackburn, Director
(416) 978-2292

Tulane University Library
New Orleans, Louisiana 70118
William Newman, Director
(504) 865-5131

University of Utah Libraries
Salt Lake City, Utah 84112
Roger K. Hanson, Director
(801) 581-8558

Vanderbilt University Library*
Nashville, Tennessee 37203
Frank P. Grisham, Director
(615) 322-2834

Virginia Polytechnic Inst. and State Univ.
Blacksburg, Virginia 24061
H. Gordon Bechanan, Director of Libs.
(703) 961-5593

University of Virginia Libraries
Alderman Library
Charlottesville, Virginia 22903
Ray Frantz, Jr., Librarian
(804) 924-3026 or 7849

University of Washington Library
Seattle, Washington 98105
Merle N. Boylan, Director
(206) 543-1760

Washington State University Library
Pullman, Washington 99163
Allene F. Schnaitter, Director
(509) 335-4557

Washington University Libraries
St. Louis, Missouri 63130
Charles Churchwell, Librarian
(314) 889-5400

Wayne State University Libraries
Detroit, Michigan 48202
Vern M. Pings, Director
(313) 577-4020

University of Western Ontario Libraries
London 72, Canada
Robert Lee, Director of Libs.
(519) 679-3165

University of Wisconsin Libraries
Madison, Wisconsin 53706
Joseph H. Treyz, Jr., Director
(608) 262-3521

Yale University Libraries
New Haven, Connecticut 06520
Rutherford D. Rogers, Librarian
(203) 436-2456

York University Library
4700 Keele Street
Downsview, Ontario, Canada M3J 2R2
Anne Woodsworth, Director
(416) 667-2235

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*Formerly Joint University Libraries.

ASSOCIATION OF RESEARCH LIBRARIES

REPORT ON FINANCIAL STATEMENTS AND SUPPLEMENTAL MATERIAL

YEARS ENDED DECEMBER 31, 1979 AND 1978

Seidman & Seidman

CERTIFIED PUBLIC ACCOUNTANTS

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    General Operating Fund 5
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Seidman & Seidman
CERTIFIED PUBLIC ACCOUNTANTS
1200–18th Street, N. W., Washington, D. C. 20036 (202) 293-1570

January 24, 1980

Board of Directors
Association of Research Libraries
Washington, D.C.

We have examined the statements of assets and liabilities arising from cash transactions of the Association of Research Libraries as of December 31, 1979 and 1978, and the related statements of revenue and expenses and changes in fund balances for the years then ended. Our examinations were made in accordance with generally accepted auditing standards and, accordingly, included such tests of the accounting records and such other auditing procedures as we considered necessary in the circumstances. We did not examine the financial statements of the Foreign Newpaper Microfilm Project which reflect total assets and revenues constituting 7% and 14% respectively for 1979 and 8% and 12% for 1978, of the related totals. These statements were examined by other auditors whose reports thereon have been furnished to us. Our opinion expressed herein, insofar as it relates to the amounts included for such project, is based solely upon the reports of the other auditors.

As described in Note 1, the Association's policy is to prepare its financial statements on a modified basis of cash receipts and disbursements; consequently certain revenue and the related assets are recognized when received rather than when earned, and certain expenses are recognized when paid rather than when the obligation is incurred. Accordingly, the accompanying financial statements are not intended to present financial position and results of operations in conformity with generally accepted accounting principles.

In our opinion, based upon our examinations and the reports of the other auditors, the financial statements mentioned present fairly the assets and liabilities arising from cash transactions of the Association of Research Libraries at December 31, 1979 and 1978, and the revenue collected and expenses paid and changes in fund balances for the years then ended, on the basis of accounting described in Note 1, applied on a consistent basis.

Seidman & Seidman

ASSOCIATION OF RESEARCH LIBRARIES

STATEMENTS OF ASSETS AND LIABILITIES

	December 31, 1979	December 31, 1978
ASSETS		
Cash in bank and on hand	$ 31 804	$ 9 662
Cash in savings accounts	1 872	3 094
Cash held by others - agency fund	57 361	74 021
Savings certificates	705 474	796 665
Deposits	1 094	1 159
Furniture and equipment, at cost less accumulated depreciation (Note 5)	24 887	22 855
	$822 492	$907 456
LIABILITIES		
Payroll taxes withheld	$ 3 263	$ 3 045
Funds collected and payable to others	3 500	-
Special programs for which the Association is accountable to the grantors	202 973	266 451
Total liabilities	209 736	269 496
FUND BALANCES		
General Operating Fund	99 763	109 283
Foreign Newspaper Microfilm Project Agency Fund	57 361	74 021
Chinese Center Revolving Fund	455 632	454 656
Total fund balances	612 756	637 960
	$822 492	$907 456

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

GENERAL OPERATING FUND
STATEMENTS OF REVENUE AND EXPENSES AND CHANGES IN FUND BALANCES

	Year ended December 31, 1979	Year ended December 31, 1978
REVENUE:		
Dues	$277 125	$208 000
Interest	16 856	15 503
Publications	8 263	6 725
Royalties	197	120
	302 441	230 348
EXPENSES	333 069	294 901
Less administrative expenses charged to special programs	21 108	31 507
Net expenses	311 961	263 394
EXCESS OF EXPENSES OVER REVENUE	(9 520)	(33 046)
FUND BALANCE, at beginning of year	109 283	142 329
FUND BALANCE, at end of year	$ 99 763	$109 283

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

FOREIGN NEWSPAPER MICROFILM PROJECT AGENCY FUND
STATEMENTS OF REVENUE AND EXPENSES AND CHANGES IN FUND BALANCE

	Year ended December 31,	
	1979	1978
REVENUE:		
Dues	$ 92 360	$ 84 566
Sales to members and non-members	77 157	52 688
Interest	1 413	2 888
	170 930	140 142
EXPENSES:		
Newspapers and microfilm	72 641	45 059
Purchases for members and non-members	67 846	41 333
Salaries	35 192	34 180
Payroll taxes	2 115	2 720
Insurance	1 986	1 345
Storage	1 760	1 760
Supplies	1 714	1 455
Royalties	381	1 743
Miscellaneous	3 955	337
	187 590	129 932
EXCESS OF (EXPENSES OVER REVENUE) REVENUE OVER EXPENSES	(16 660)	10 210
FUND BALANCE, at beginning of year	74 021	63 811
FUND BALANCE, at end of year	$ 57 361	$ 74 021

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

CHINESE CENTER REVOLVING FUND
STATEMENTS OF REVENUE AND EXPENSES AND CHANGES IN FUND BALANCE

	Year ended December 31, 1979	1978
REVENUE:		
Sale of publications	$110 384	$121 218
Interest income	42 853	28 987
	153 237	150 205
EXPENSES:		
Transfers to Center for Chinese Research Materials program	86 890	2 639
Cost of publications	58 903	73 138
Postage and other expenses	6 468	4 204
	152 261	79 981
EXCESS OF REVENUE OVER EXPENSES	976	70 224
FUND BALANCE, at beginning of year	454 656	384 432
FUND BALANCE, at end of year	$455 632	$454 656

See accompanying notes to financial statements.

ASSOCIATION OF RESEARCH LIBRARIES

NOTES TO FINANCIAL STATEMENTS

NOTE 1 - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Basis of accounting

The accounts of the Association are maintained on a modified-cash basis of accounting. Under this method, effect is given only to cash collections and payments except that furniture and equipment is capitalized and depreciated over its estimated useful life. Accordingly, the financial statements do not show accrued income, costs and expenses, and the receivables and payables that would result from such accruals.

Furniture, equipment and depreciation

Furniture and equipment are stated at cost. Expenditures for additions, renewals and betterments are capitalized. Upon retirement or disposal of assets, the cost and accumulated depreciation or amortization are eliminated from the accounts and the resulting gain or loss is included in income. Depreciation is computed on the straight-line method over an estimated useful life of ten years.

NOTE 2 - INCOME TAXES

The Association is exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code.

NOTE 3 - LEASE

The Association rents its office facilities under an operating lease that expired on June 30, 1979. A new lease is currently being negotiated.

Total rent and storage charges were $38,269 for 1979 and $28,292 for 1978.

NOTE 4 - RETIREMENT PLANS

The Association has a retirement plan that covers substantially all full-time employees. Contributions to the plan are based on a percentage of salary for enrolled staff members. Total amounts paid in by the Association were $52,864 and $42,241 for 1979 and 1978, respectively.

NOTE 5 - FURNITURE AND EQUIPMENT

Furniture and equipment are categorized as follows:

	1979	1978
Center for Chinese Research Material	$11 887	$11 887
University Library Management Study Office	-	7 858
Academic Library Program	15 641	285
Collection Analysis Program Transition	-	1 131
Association of Research Libraries	30 687	30 618
	58 215	51 779
Less accumulated depreciation	33 328	28 924
Net property and equipment	$24 887	$22 855

SUPPLEMENTAL MATERIAL

Our examinations of the financial statements included in the preceding section of this report were directed to an expression of our opinion on those statements taken as a whole. The supplemental material presented in the following section of this report has been subjected to certain audit procedures applied in connection with our examinations of the financial statements. This information, while not considered necessary for the fair presentation of the statements of assets and liabilities and revenue and expenses of the Association, is, in our opinion, fairly stated in all material respects when considered in relation to the financial statements taken as a whole.

Certified Public Accountants

Washington, D.C.
January 24, 1980

ASSOCIATION OF RESEARCH LIBRARIES

GENERAL OPERATING FUND
SCHEDULES OF EXPENSES

	Year ended December 31,	
	1979	1978
Board and committee expenses	$ 8 782	$ 10 926
Computer services	1 225	95
Conference expense	17 806	15 759
Dues	1 948	2 933
Depreciation	2 496	2 933
Honorarium	600	896
Hospitalization	2 481	1 839
Insurance and bonding	5 016	2 325
Miscellaneous	2 318	1 659
Payroll taxes	8 476	6 033
Periodicals and subscriptions	2 242	1 512
Printing	12 524	14 627
Professional fees	7 184	4 410
Postage and freight	3 563	3 963
Rent	11 211	9 955
Retirement plan	17 181	17 470
Salaries	146 510	135 037
Staff travel and expenses	16 042	11 629
Stationery and office expenses	7 784	7 419
Telephone	5 180	3 481
Funding for special programs - University Library Management Study Office and ALP	52 500	40 000
	$333 069	$294 901

ASSOCIATION OF RESEARCH LIBRARIES

SPECIAL PROGRAMS
SCHEDULE OF REVENUE AND EXPENSES AND CHANGES IN PROGRAM BALANCES

	Center for Chinese Research Materials (old)	Center for Chinese Research Materials (new)
REVENUE:		
Grants	$23 000	$ 83 333
Sale of publications		
ARL support - transferred from General Operating Fund		
Support from Chinese Center Revolving Fund	1 833	85 057
Workshops and training programs		
Management Institutes		
Interest income		
Reimbursement for expenses	269	
Film services (net)		
Miscellaneous		
Total revenue	25 102	168 390
EXPENSES:		
Allocated administrative fees		16 639
Consulting fees, computer expenses and sub-contracts		812
Convention expenses		
Depreciation		677
Employee benefits	3 362	17 042
Miscellaneous	70	
Office expenses	786	5 390
Payroll taxes	1 013	6 200
Periodicals and subscriptions	200	645
Postage		1 153
Printing		3 808
Professional services	1 400	112
Rent and storage	1 703	8 733
Salaries	19 682	97 793
Telephone	237	991
Training (net)		
Travel	1 114	8 395
Total expenses	29 567	168 390
EXCESS OF (EXPENSES OVER REVENUE) REVENUE OVER EXPENSES	(4 465)	-
PROGRAM BALANCE, at beginning of year	4 465	-
TRANSFERS		
PROGRAM BALANCE, at end of year	$ -0-	$ -0-

University Library Management Study Office	Academic Library Program	Collection Analysis Program Transition	Resource Notebook (Wilson)	SPEC (Wilson Foundation)
$	$ 93 000	$	$	$
289	61 402			
	52 500			
	7 027			
	28 425			
	18 599			156
100				
50				
439	260 953			156
	347	4 000		330
	1 231			
	16 670		1 147	1 094
				12
	6 564		174	7 500
	10 003			
	1 855			
	10 195			615
	31 962		2 737	2 647
	200			
	15 222			
	131 073		4 981	5 935
	5 847			
	8 068			
	67 197	45		
-	306 434	4 045	9 039	18 133
439	(45 481)	(4 045)	(9 039)	(17 977)
3 238	224 228	5 131	8 909	18 359
(2 615)	3 701	(1 086)	-	-
$1 062	$182 448	$ -0-	$ (130)	$ 382

	Index Grant W. H. Wilson	Brasenose, II Conference	Lilly Project	Bibliographic Control Project	United States - Japan Friendship Commission Grant	Year ended December 31, 1979 Total	1978 Total
REVENUE:							
Grants	$	$	$100 000	$12 000	$	$311 333	$585 496
Sale of publications					288	61 979	62 091
ARL support - transferred from General Operating Fund						52 500	40 000
Support from Chinese Center Revolving Fund						86 890	-
Workshops and training programs						7 027	12 649
Management Institutes						28 425	8 677
Interest income		98				18 853	7 734
Reimbursement for expenses						269	3 931
Film services (net)						100	1 593
Miscellaneous					129	179	-
Total revenue	-	98	100 000	$12 000	$ 417	567 555	722 171
EXPENSES:							
Allocated administrative fees						16 639	3 750
Consulting fees, computer expenses and sub-contracts			30 000	10 000		45 489	2 678
Convention expenses						-	100
Depreciation						1 908	1 931
Employee benefits			7 854			47 169	43 133
Miscellaneous						82	10 755
Office expenses			2 583		118	23 115	14 903
Payroll taxes						17 216	13 218
Periodicals and subscriptions						2 700	2 339
Postage			231			12 194	5 433
Printing			1 393		40	42 587	7 384
Professional services						1 712	22 167
Rent and storage			1 400			27 058	18 337
Salaries			34 921			294 385	265 675
Telephone			450			7 525	6 899
Training (net)						8 068	13 621
Travel			6 079	356		83 186	34 592
Total expenses	-	-	84 911	10 356	158	631 033	466 915
EXCESS OF (EXPENSES OVER REVENUE) REVENUE OVER EXPENSES	-	98	15 089	1 644	259	(63 478)	255 256
PROGRAM BALANCE, at beginning of year	2 183	1 772	(321)	-	(1 513)	266 451	11 159
TRANSFERS	-	-	-			-	36
PROGRAM BALANCE, at end of year	$2 183	$1 870	$ 14 768	$ 1 644	$(1 254)	$202 973	$266 451

ASSOCIATION OF RESEARCH LIBRARIES

ANALYSIS OF CASH
YEAR ENDED DECEMBER 31, 1979

USES OF CASH:	
Excess of expenses over revenue (revenue over expenses):	
General Operating Fund	$ 9 520
Foreign Newspaper Microfilm Project Agency Fund	16 660
Chinese Center Revolving Fund	(976)
Special Programs	63 478
Total	88 682
Less depreciation (a non-cash expense)	4 404
Cash absorbed by operations	84 278
Purchase of furniture and equipment	6 436
Total	90 714
SOURCES OF CASH:	
Funds collected and payable to others	3 500
Increase in payroll taxes withheld	218
Decrease in deposits	65
Total	3 783
DECREASE IN CASH	86 931
CASH BALANCE, at beginning of year	883 442
CASH BALANCE, at end of year	$796 511